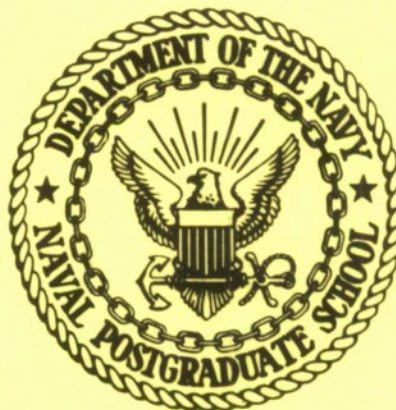


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DESIGN OF AN OPERATIONAL PERSONNEL

DEVELOPMENT AND EVALUATION SYSTEM

William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.

June 1973

Final Report for Period

June 1972 to June 1973.

Approved for public release; distribution unlimited

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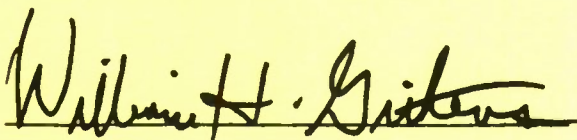
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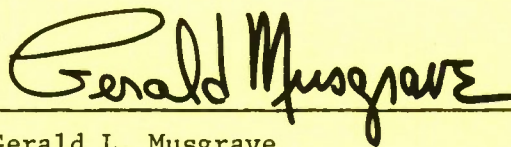
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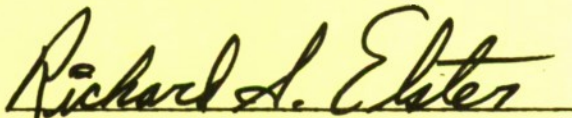
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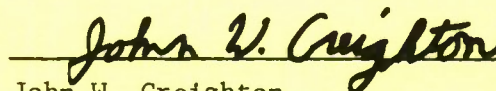
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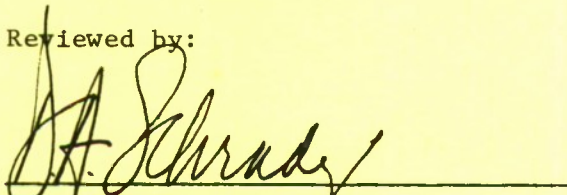


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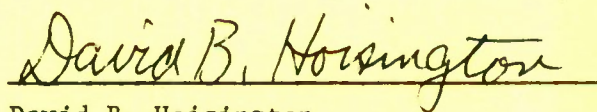
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20. ABSTRACT (Continue on reverse side if necessary and identify by block number) The purpose of this research project was to develop and implement a management system to more effectively utilize civilian professionals. Two "test bed" activities were selected--Naval Supply Center and Naval Regional Finance Center, both in San Diego, California. The project has four parts: 1. Establishing a Group Appraisal System. 2. Developing a Goal Setting System. 3. Constructing Performance Rating Scales. 4. Developing Career Ladders.		

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INTRODUCTION

This report is one of six Naval Postgraduate School technical reports documenting and describing a research project titled, "Design of an Operational Personnel Development and Evaluation System," sponsored by the Naval Material Command. The following is a listing of these six reports:

1. NPS-55Gh73061
DESIGN OF AN OPERATIONAL PERSONNEL
DEVELOPMENT AND EVALUATION SYSTEM
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
2. NPS-55Ea73061
DESIGN OF OPERATIONAL CAREER LADDERS
by: Richard S. Elster, Robert R. Read,
William H. Githens, Gerald L. Musgrave,
and John W. Creighton.
3. NPS-55Gh73062
DESIGN OF AN OPERATIONAL MANAGEMENT
DEVELOPMENT MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
4. NPS-55Gh73063
DESIGN OF AN OPERATIONAL RATING MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
5. NPS-Mg73061
DESIGN OF AN OPERATIONAL MANAGEMENT BY
OBJECTIVES MANUAL
by: Gerald L. Musgrave, Richard S. Elster,
John W. Creighton, and William H. Githens.
6. NPS-55Rr73061
STATISTICAL ANALYSIS OF PERSONNEL DATA USING
FACTOR SCORING, CLUSTER ANALYSIS, AND MULTI-
DIMENSIONAL SCALING
by: Robert R. Read, Richard S. Elster,
Gerald L. Musgrave, John W. Creighton,
and William H. Githens.

An executive summary of the entire project follows, and any additional information about the project can be obtained from the Project's Principal Investigator, Dr. Gerald L. Musgrave, Department of Operations Research and Administrative Sciences, Naval Postgraduate School, Monterey, California 93940.

EXECUTIVE SUMMARY
OF
THE PERSONNEL DEVELOPMENT AND EVALUATION SYSTEM

INTRODUCTION

The purpose of this research project was to develop and implement a management system to more effectively utilize civilian professionals. Two "test bed" activities were selected--Naval Supply Center and Naval Regional Finance Center, both in San Diego, California. The project has four parts:

1. Establishing a Group Appraisal System.
2. Developing a Goal Setting System.
3. Constructing Performance Rating Scales.
4. Developing Career Ladders.

GROUP APPRAISAL

The management development program involved civilian professionals at the two commands in group performance appraisal sessions. A professional's work performance was usually appraised by his supervisor and by the supervisor's superior. This group would meet with a member of the research team. The appraisals conducted by these groups were focused on, and limited to, intra-appraisee considerations. That is, the appraisal committee considered the individual in terms of his greatest strengths and his least strong work performances, but did not compare the appraisee with other individuals. Recommendations for the appraisee, for the appraisee's supervisor, and for the organization were then made so that this appraisee (a "human asset") could grow in worth to himself and to the organization.

A summary of the appraisal committee's thinking was then written by the research team member who had attended the committee's meeting and given to the appraisee's supervisor for his review. The supervisor then discussed the appraisal with the appraisee, stating that this is "how others see and interpret you," and that "here are our thoughts on how you might further develop and utilize your talents."

The responses to the appraisal program were varied. A number of appraisees stated informally that they felt their appraisal session with their supervisor had been one of the most meaningful experiences they had while in the Civil Service. Many supervisors, however, experienced their first exposure to a face-to-face dialogue with one of their subordinates and found the feedback session to be somewhat traumatic. The development of supervisory skills in these feedback behaviors appears to be a crucial requirement if face-to-face dialogues between supervisors and subordinates are to become common and meaningful.

GOAL SETTING

Another part of the project was to establish a framework to foster and facilitate a "result oriented" management system. Our experience was that effective goals could be established and that while it took time to develop goals, the act of setting goals was beneficial to the organization.

Goal setting was new to managers and they were resistant to formalizing goals. Some of the resistance seemed to be attributable to unfamiliarity with the concept of producing results, as compared to being engaged in activities. Another resistive force seemed to be the fear that goal setting would be used for punitive managerial actions.

We believe that after more experience is gained in goal setting and when employees' fears of consequential management action are found to be unwarranted, a greater acceptance of the program will result.

Our research at the Naval Postgraduate School and the San Diego Centers leads to the development of a new Goals and Controls System. This system includes a Work Performance Folder and a Goal Setting Manual that is to be used in conjunction with the folder. The system can be used to formulate goals, monitor and control performance, and to appraise work performance at the end of the year.

PERFORMANCE RATING SCALES

Section IV of this report presents the rating scales which were developed for professional occupations in Supply and Finance.

ANCILLARY STUDIES

The project report includes a number of sections which are indirectly related to the central issues of performance appraisal, goal setting, scale construction and career ladders. These related sections include analyses of questionnaires administered to individuals at the Centers, bibliographic resource materials, and a number of related ancillary studies. These studies are related to human asset accounting, goal setting, auditing, and statistical analyses of organizational climate and attitudinal data from the Centers.

BACKGROUND

During Fiscal Year 1972, the Navy Material Command financed investigations by Naval Postgraduate School (NPS) faculty as part of their exploratory research directed at developing methods and means for improving organizational effectiveness. In the course of various dialogues concerning NAVMAT operations, topics related to the age and replacement of professional civilian personnel were discussed. These discussions then turned to the issues of performance evaluation and management by objectives. The Office of Civilian Manpower Management (OCMM) became interested in these problems, and the NPS was requested by NAVMAT and OCMM personnel to submit a proposal for implementing some relevant managerial programs during FY 73. NPS responded with the proposal included as Appendix 1.

The proposal involved the following main objectives:

1. Developing for each civilian professional specific ways in which he can improve his knowledge, skills, attitudes, or behaviors to make him a more valuable human asset for the Navy.
2. Develop for each civilian professional a list of specific ways in which management can better utilize his talent.
3. Advise each civilian professional of what his boss wants him to accomplish during the coming year, and the evidence that will be used to judge such accomplishment.
4. Generate for each professional position the best performance rating scales allowed by current technology.
5. Generate "career ladders" for civilian professional jobs that relate field jobs to jobs in Washington, D.C. These "ladders" were to be based on the similarities and differences between and among jobs.

The on-site locations for this "demonstration" project were the Naval Supply Center, San Diego, and the Navy Regional Finance Center, San Diego. The main administrative offices for both organizations are located in the same building and both organizations are served by the same personnel department. Tables of organization for these two organizations, which show only the professional civilian billets and the hierarchy above them, are presented in Appendix 2. These two organizations were chosen because: (1) they are located in the same building, (2) this choice would allow one of the principal investigators to be on-site full-time, (3) they were within reasonable commuting distance from the Naval Postgraduate School in Monterey, and (4) both were considered by NAVMAT and NAVCOMPT personnel to be relatively healthy and efficient organizations.

A combination of "Management by Objectives" and "Group Appraisal" was used in accomplishing the first three of the five above objectives. Working from the higher toward the lower positions in the organizational hierarchy,

each supervisor called a committee meeting with his supervisor and several other employees who would have been in a position to observe the work performance of the appraisee. Following a brief discussion of the "strongest" and "least strong" aspects (intra-individual) of the appraisee's performance, the committee developed a list of recommendations in keeping with the first two of the aforementioned objectives. (Each of these discussions focused only on intra-individual differences.) Following this group meeting, the supervisor conducted a counseling session with the appraisee during which the opinions and recommendations of the committee were discussed. With this as a background, the supervisor and appraisee then worked out a list of specific goals for personal development to be accomplished during the coming year. In addition, based on the requirements and expectations of work accomplishment for the coming year as worked out by the supervisor and his boss, the supervisor and the appraisee (subordinate) worked out a list of goals for organizational accomplishment (objective #3) applying to the appraisee. Thirty of the 85 professional employees at NSC and all 25 of the professional employees at NRFC were covered by this program. Part II of this report deals with the developmental activities involved in objectives 1 and 2, while Part III of this report is concerned with the MBO portion (objective #3) of the project.

Generation of the best performance rating scales for each professional job (objective #4) involved the following scale construction steps:

1. A group of employees (3 to 6) familiar with the job listed the most relevant aspects of performance for the specific job.
2. The group then generated "specific" behavioral examples they had observed that demonstrated high and low performance on each performance aspect.
3. At a later time, these behavioral incidents were presented to the individuals in the group, who assigned them to the rating scale (aspect) and rating scale level (low to high on a 5-point scale) that they thought appropriate.
4. Incidents that were not by consensus assigned to the same location (both rating scale and level) were eliminated.

This procedure yielded rating scales that are relevant to the job being rated and that are "anchored" by specific behavioral incidents representing on the scales the various levels of job performance.

Rating scales were constructed for 6 of the 27 civilian professional jobs at NSC and for 3 of the 7 jobs at NRFC. General "supervisory" scales were constructed covering 11 of the 21 remaining jobs at NSC and all 4 of the remaining professional jobs at NRFC. Part IV of this report and Technical Report NPS55Gh73063 present the scale construction work conducted during the research project.

In support of objective #5, a task inventory asking employees to list the degree to which they were involved in various activities was administered

to 85 civilian professionals at NSC and 26 civilian professionals at NRFC. The same inventory was completed by civilian professionals in NAVSUP and NAVCOMPT in Washington, D.C. The data from the responses to this inventory formed the basis for the investigation of career paths, which was objective #5 of this project. The research done on career paths is described in Technical Report NPS55Ea73062.

Another technical report in this series, NPS55Rr73061, contains ancillary studies conducted during the term of this project. These studies included one using multidimensional scaling in examining how supervisors differentiate among their subordinates, and another effort which involved developing a comprehensive bibliography of the Management by Objectives literature.

In contrast to the more typical organization of reports, the more general conclusions and observations are covered first rather than last. Part I, which immediately follows, presents this information.

PART I

OBSERVATIONS AND CONCLUSIONS DEVELOPED ON-SITE AT SAN DIEGO

The purpose of the project conducted at NSC and NRFC at San Diego was to improve the personnel evaluation and development functions of the organizations. The research group believes that the two organizations do not differ significantly from similar commands throughout the Navy. It was hoped that this study might provide information and insights which could improve the effectiveness of organizations throughout the Navy.

Participants in any project which seeks to make improvements must make an original assumption that there are things which might be improved. The study group and the resident managerial people were in complete agreement in that each felt that improvement would be beneficial. The visiting team and resident managers must disagree, however, when the subject comes up as to what can be improved. Resident managers must take the stand that they have a good operation or it would not be the way it is, and, therefore, studies and experiments within their organization should be conducted in such a way as to not do any damage. The visiting team, on the other hand, because it does not and cannot know the intricacies of the system, makes the assumption that everything is suspect and nothing is sacred. The visiting group and the managerial people are in the same position of having a common goal (improved organizational effectiveness) for the project, but different positions as to how the goal might be met.

An interesting aspect of this project was that NSC and NRFC were in the position of not having asked for the project. The visiting team had been asked to make the study and the San Diego organizations had been asked to serve as a laboratory. Considering this situation, the general cooperation between all participating groups in the project was remarkably good.

During the course of the project, the on-site research team member made observations of managerial attitudes and responses to activities required for the operation of the project. These observations were made and recorded for the following several reasons:

1. It was felt that by noting these attitudes the research team could avoid going overboard on any aspect of the program.
2. It was assumed that attitudes might be typical of those at other commands, and therefore a knowledge of the attitudes encountered would lead one to an understanding of what attitudes one might expect at another command.
3. The attitudes encountered during the course of the project are a good indicator of the progress being made.

The following observations are noted and include a statement of the observations and comments on the observations by a member of the visiting team. They tend to be typical reactions to projects of this type. Paraphrasings are shown below within quotation marks, along with the investigator's responses, which are set within parentheses:

"Great discontent will result from being evaluated by a group and only weak points will be discussed."

(The group does not evaluate in the usual sense; it concentrates on making recommendations for improvement and on intra-individual differences. Positive points were well brought during these sessions.)

"The Staff Coordinator is an 'outsider' and has no right to play a role in a man's career."

(The Staff Coordinator was from the Naval Postgraduate School and attempted to focus the discussions along appropriate lines - he didn't participate as a line manager.)

"It is contradictory - how can you talk of a man's strongest and least strong points and say it will not be related to promotion, increases, etc."

(Strongest and least strong points are intra-individual and the development committee does not make recommendations concerning promotions, increases, etc.)

"There is not a need for every employee to develop - some are working at their capacity."

(This is somewhat true, but the program was designed to ensure that development is fully considered for each employee.)

"The employee could file a grievance which would be hard to fight - the employee may say the group had no right to discuss his performance and their discussion did influence his regular performance."

(No regulation prohibits a supervisor from discussing his subordinates' performance with anybody. Again, the same asservation: the development group does not evaluate the employee in the usual sense -- it concentrates on the developing of a list of recommendations for improvement.)

"The program is concerned with the present job only and therefore cannot discuss preparation for another job or promotion. This makes it limited."

(The developmental committee does not recommend promotions, but does discuss the development of the individual's knowledge, skills, abilities, and attitudes which would make him a more worthwhile human asset on his current job or other jobs to which he is assigned.)

"Harm will result from the program because setting goals and a time-frame for accomplishing them is frightening."

(To some, the idea of having supervisors focus on results is frightening, especially those who are unaccustomed to thinking in terms of accomplishment.)

"Because of this program, employees will get expectations of advancement or promotion and will be very displeased when this does not happen."

(The comment incorrectly assumes that the only incentive for improved performance is promotion. It is true that if promotions are not obviously based on job performance, many employees will be displeased. To take the position that no attempts to develop employees should be made since employees would be displeased if not promoted is an attitude that can be a "self-fulfilling prophecy" and is basically counter-productive.)

"The program involves too much time and effort by the supervisor."

(Some supervisors spent a great deal of time. One reason is that they never before made an objective evaluation of their subordinates and any new job takes time to learn.)

[Remark by a senior civilian manager]:

"The program would be nonsense for an older employee who knows he is not going to be promoted."

(This remark assumes incorrectly that the only reason an older employee works is to get a promotion.)

[Remark by a senior civilian manager in front of a number of subordinates]:

"It is true that there is no organizationally instituted concern here for the development of civilians, but the civilian doesn't have to work here - he has the freedom to go elsewhere where there is concern for his development."

(We have no comment.)

"The Management Interns will not be made available for part-time work on the program as promised - it would be bad for them. They already are considered as spies by some line managers and the project work would make it even worse for them."

(It appears that "outsiders" can expect a difficult time in such an organizational climate.)

"The work done in clarifying with employees what it is they should be accomplishing and providing recommendations on ways they might improve are not our program, it is the Naval Postgraduate School's program and we are doing it for them."

(This view is a combination of the managers' concept of their "role" and a "not invented here" attitude.)

[By one C.O.]:

"This is a bad type of organization for such a project. The jobs are all very simple, basic, and repetitive. Setting goals becomes nonsense - the organization's objectives are just to keep existing and meeting imposed requirements such as reductions in manpower."

(We have no comment.)

"The considerable amount of paperwork involved is just too great a burden."

(Only paperwork required of any line manager by the program is a single listing of objectives that were worked out in a counseling session with the employee.)

The comment regarding the older employee in the preceeding list deserves further comment. Older employees represent a significant portion of the current work force. The attitude that older employees are not interested in being more productive or providing better service was found to be a prevalent one among managers. This attitude was expressed not only about employees having three to five years of service left, but also of employees having ten or more years of service remaining! These attitudes toward the older employee probably generate a self-fulfilling prophesy: The older employees react to the expectations of their supervisors. Further, there is ample evidence in research on motivation to work to corroborate the contention that employees can be motivated by factors other than their perceived opportunity for advancement. Stereotyping of the older employee as being primarily interested only in putting in time until retirement is not only contrary to ample evidence, it is also counter-productive.

One of the main conclusions of this study is that the sources of deficiencies in the development or evaluation of personnel lie not in the flaws of the rating forms available, but emanate from the absence of this responsibility in the line manager's concept of "his job". There are some exceptions, but in general very little attention was given to evaluation of the work performance, or to the training and development of civilian professionals. The typical line manager thought of the training or development and, sometimes, the disciplining of his subordinates, as being the responsibility of the "Personnel Department". This was the prevailing concept, in spite of its rejection by the Personnel Director and its conflict with current official directives.

Several ways of rejecting the responsibility for subordinate development and evaluation were exhibited:

1. Some believed these to be a line manager's responsibility, but felt their regular job responsibilities took most of their time, so they did not have the time required.

2. Some felt that it is a line manager's responsibility to do the things required by the program; i.e., list for each individual: a) ways he can improve, b) ways his skills can be better utilized, and c) goals to be accomplished; and that these are continuing activities, not just something done when required by a program. This position is, of course, correct. However, in no case was any evidence provided, either orally or in writing, that these activities were occurring prior to this project.

3. Some claimed that these are continuing functions which are done, and that there were clear understandings between them and their subordinates concerning the details of these matters. Many of these same individuals, however, complained about the considerable amount of time required to do these things for the research project, and the considerable amount of time they then had to spend with their subordinates. To the extent the goals, for example, were well thought out and understood, the time required for writing out the list should not have exceeded the time to write out a page of information, and the time required to achieve an understanding and agreement with the employee concerning the set of goals should not have been increased by this research project.

The ironic fact that many line managers did not regard the development and evaluation of their subordinates as a significant part of their job was not the only problem. With few exceptions, the supervisors (civilian and military) experienced great difficulty when the program required them to analyze a subordinate's job performance. They were basically unskilled in this managerial function.

It had been anticipated that there would be some lack of performance evaluation skills among supervisors. The original time schedule for the project (see Appendix 3) anticipated working through the appraisals and goal setting sessions early in the project (prior to January 1973) so that attention of the supervisors would have been directed towards employee's performances prior to the initiation of any rating scale construction efforts. It was also anticipated that the task of specifying stronger and weaker aspects (intra-individual) of employee's job performance, and that discussing results expected with employees would exercise and sharpen the supervisors' performance evaluation skills. The appraisal and goal setting sessions were delayed to the last half of the funded fiscal year, however, because of the command's priorities. The rating scale construction phase therefore had to commence with individuals who had not experienced the performance analysis involved in the appraisal program. In the scale construction work, the supervisors were asked to state what they believed to be the most important aspects of performance which should be rated on a certain job. They were also asked to describe for each rating scale specific instances or occurrences which they knew about, and which demonstrated a level of performance on the scale; i.e., what behavior on the part of a ratee illustrated performance at a certain level on the rating scale. This process revealed that supervisors were usually able to specify what to them was an important rating scale to be used, but that they could not provide specific behaviors they had observed which could then be used to determine if an employee were high or low on the rating scale.

Many supervisors also seemed to have difficulties in "goal setting". Because of these difficulties, no great quality demands were put on the supervisors by the investigators during the goal setting process. Rather, a "learn to walk before you try to run" strategy was taken. Supervisors were told to state what they wanted, planned, or expected their subordinate to accomplish. Although goals listed by some supervisors were satisfactory, most supervisors lacked the skill to develop and state adequate goals. This was true even for supervisors whose job descriptions contained requirements for "planning".

The primary problem encountered was that managers do not consider activities as required by the project to be "part of their jobs". This problem was followed by a concomitant lack of managerial skills in performing the activities required.

One can speculate as to how such concepts of the role of a manager develop and are perpetuated. Analysis of work attitudes in the civilian sector of our economy reveal that unionization sought to protect the worker from arbitrary vicissitudes imposed by supervisors. This move brought about policies requiring justification for the demotion, reduction in pay, assignment of undesirable work, discharge, etc. of subordinates. To make sure provisions of the union contracts were adhered to, industrial relations departments were frequently formed in organizations. At this point, supervisors often acted as if their authority and responsibility for discharging, demoting, etc. had been removed from them. Actually, they were in part correct, but they were still responsible for personnel management. The parallel to this in the Civil Service system is obvious - merely change the name of the industrial relations department to "Personnel Department".

Since it is highly unlikely that any staff function (e.g., Personnel Department) is in a position to take over the direct management of personnel, this will remain as it theoretically currently is - a line function. It therefore becomes essential that line supervisors have the knowledge of the rules and regulations developed to protect workers. The reservoir of knowledge of these rules and regulations is currently considered by supervisors to be the "Personnel Department". This attitude is reflected by both military and civilian supervisors. Although courses on these Civil Service regulations are, and have been offered, they have evidently not "taken" on those attending. A means must be found to correct this knowledge gap.

Another way of viewing this denial of personnel management responsibilities is to look at the emphasis given to the protection, development, and utilization of the human asset at the top of the organization. An attempt was made, for instance, to locate statements of objectives for Naval Supply Centers. The few sets of objectives that were obtained did not include any objectives concerning the human asset. This does not mean that the organizations were necessarily run or evaluated by a belief that concern for people is not important. It could be assumed that this "concern" will be reflected in achieving the objectives (usually in productive terms) that are listed. That is, achievement of the production goals is accomplished in part by good personnel management. However, since the line organization does not perceive "personnel management" as being its responsibility; i.e., part of its job, it is recommended that major objectives for increasing human assets be specified and included in the sets of objectives for the NAVCOMPT and NAVSUP organizations.

The relationship between productivity (which all line managers would likely agree is a part of their jobs) and concern for the human assets deserves a few more comments. In a system that: (1) rotates the top line supervisors, and (2) has no means of identifying dissolution of the human asset, other than by its eventual impact on productivity, a lack of concern for the human asset may be organizationally fostered. An officer assigned as a CO or as a line manager, due to the rotation policy for officers, has about two years in which he can demonstrate some achievement within his area of responsibility. It is possible for him to "sell off" some of the human asset (i.e., good-will, training of potential skills, etc.) in order to show a "production" gain. Since the loss of human assets may not have a short term impact on productivity, this would be a practical and effective strategy for the officer involved. There are perfectly good reasons for the Navy's policy of rotating officers, and these are not being disputed. What seems to be needed, however, is a way of accounting for the human asset so that managers can be evaluated on their managing of it over the short term (one or two year periods), along with supplies, equipment, and production.

The researchers wish to make what they hope won't be construed as a gratuitous forewarning. Two types of actions frequently taken by managers in attempts to improve their organization's personnel management are to:

1. Assign more responsibility to a staff man.
2. Provide training in "human relations".

Although both of these actions are beneficial under certain circumstances, they are not recommended as being sufficient to solve the problems encountered during the research.

Assigning the function to a staff man just dilutes the line manager's role. It is the recommendation of the research team that a great deal of the responsibility for personnel management be laid squarely on the shoulder of the line manager and that he be evaluated on his handling of this part of his job.

Human relations training is another tempting palliative. In all its many forms, from the academic study of principles of human behavior to role-playing to "T" groups, human relations training may provide some benefit in improved communication between a subordinate and his supervisor, but does not by itself solve the basic problems that have been identified by this project; e.g., the development and evaluation of subordinates not being perceived as being the responsibilities of line managers.

It is recommended that the following possible action areas be given top management's attention:

1. Ensure that each CO knows on what factors he and his organization will be evaluated. This should include specific objectives concerning the organization's "human assets".
2. Ensure that all supervisors (military and civilian) of civilians have an operating knowledge of important Civil Service regulations concerning manpower management. An earnest "certification" program is recommended.

3. Have each supervisor evaluated on his management of his "human assets", including his ability to evaluate and develop his subordinates. Provide training in evaluation, using procedures such as discussed in Parts III and IV of this report.

4. Support efforts to develop means of implementing a "human asset" accounting system.

5. Obtain "feedback" on what is actually happening in personnel management. An "audit" program concerned with the personnel management function should be explored. Merely directing that a program be followed is evidently not enough. Without feedback that is used for evaluative purposes, such programs apparently exist only on paper.

PART II

MANAGEMENT DEVELOPMENT

There is an unresolved dilemma which every supervisor must face in evaluating the performance of his subordinates. On the one hand, evaluations involve providing a basis for administrative decisions concerning subordinates (promotion, demotion, transfer, merit increase, etc.); on the other hand, evaluations provide a basis for counseling and helping subordinates develop. It may seem that these two uses for evaluations would not influence the method for obtaining performance evaluations. Closer examination, however, will reveal the profound and pervasive impact these two uses of evaluations have on the supervisor's evaluative behavior.

Consider first the use of evaluation in counseling and developing the subordinate. To accomplish these goals, there should be mutual trust between the superior and subordinate. The literature of "counseling" is fairly consistent in pointing out the importance of having the counselee accept recommendations for change. This is best done by having the counselee feel free (non-threatened) to examine problem areas, to reveal his difficulties, and to explore remedies with the counselor. The counselor encourages this behavior by consistently using any information obtained from the counselee to help the counselee. In no case would the information be used in actions that the counselee believes are negative to his position or status. This is consistent with the concept of "leadership" in which the leader has the confidence of his subordinates and secures this by protecting them from threats coming from outside the group, and by always holding in high regard the welfare of his men. This is frequently referred to as loyalty of the men for their leader and of the leader for his men. This mutual loyalty framework maximizes the possibility of beneficial counseling taking place. Instead of "defensive reactions" on the part of the subordinate to any reference to weak performance, the weakness would be supportively explored so that improvements could be made.

Consider now the use of performance evaluation for administrative purposes such as promotion, demotion, etc. In these uses, the rater or supervisor acts as a "judge" over the subordinate. Unless this evaluation ends up being favorable (as perceived by the subordinate), it likely will be viewed in a negative way by the subordinate. It is a threat to the subordinate's concepts of himself, it produces doubts on the part of the subordinate as to whether the supervisor really is concerned about his welfare, and it frequently produces the defensive behavior such as the denial of the existence of any weakness. Other than favorable evaluations are, therefore, not conducive to acceptance by the subordinate of any recommendations for improvement. And all the while, the rater is asked to be loyal to the total organization, to be objective in evaluating his men, and to keep in mind the "big picture" of the needs of the organization. Every Naval officer who has completed a fitness report on a junior has probably gone through the psychological agony of trying to resolve this conflict between "Loyalty to his Men" and "Loyalty to the Navy". Unfortunately, there is no known solution to this "split loyalty" dilemma. The approach taken during this research project has been to provide the best

scales that can be developed for an "administrative" use (see Part IV) and to provide a separate procedure focusing on the development of subordinates. This section of the report is concerned with the procedures developed for "employee development".

The philosophy and procedures of this developmental program are covered in the "Management Development Manual" (Enclosure (1)). Although the Management Development Manual is included as an enclosure, it is of no less importance than this text and should be read in order to appreciate the information presented in this part of the report. The Manual, however, also covers the counseling and goal setting session between the supervisor and subordinate. Part III of this report is concerned with the goal setting and counseling session.

Typically, supervisors receive informal comments regarding their subordinates' performances. Even if there is no direct impact of a subordinate's work on others, others are frequently in a position to observe some aspect of the subordinate's performance. The "Development Committee" aspect of this project was designed to constructively utilize this information held by others. Besides providing a setting in which others are required to be constructive in their comments, this technique serves to sharpen the supervisor's thinking about performance evaluation. Frequently, aspects not previously considered are brought to the fore and new sources of information on performance are discovered. The supervisor incorporates all this with his own observations and analyses to produce what he, the supervisor, thinks are the best recommendations to the subordinate for improving his (the subordinate's) performance.

Developmental committees met on 55 of the civilian professionals at the project site. (See Appendix 4 for a listing of appraisees and committee members.) Some difficulties were experienced in these sessions, but each difficulty usually highlighted a management problem that was actually outside the scope of the development program. As examples:

1. A developmental committee was convened to make improvement recommendations for a GS-11 civilian professional. During the past year, this subordinate had been assigned only clerical type tasks of perhaps a GS-4 or GS-5 level. The discrepancy was not the result of the desire of the GS-11. It was almost impossible under this circumstance to make any recommendations for improved performance to this subordinate. The procedure did dramatically highlight a basic personnel management problem to the supervisor and the supervisor's supervisor (the membership of the person in this role on the developmental committee is required).

2. A supervisor insisted that of the nine men he supervised; a) not one differed from any other in any aspect of their performance, b) that each was working at his maximum capacity, and c) no one but he was in a position to observe their work performance. Two likely explanations for this behavior are that the supervisor was lacking in the ability to discriminate differences between the performances of his subordinates, or that he was protecting his men from any scrutinizing of their performance by higher management. The latter is probably the case in this instance. With the supervisor taking the position he did, it was impossible to proceed. Again, the process highlighted to the supervisor's supervisor another basic personnel management problem.

3. Management had unofficially reorganized a group of civilian professionals and designated two "supervisors" between the professionals and their former direct supervisor. Civil Service rules and regulations had been ignored in making these changes. When top management then designated the two new "supervisors" as being responsible for running a developmental committee and counseling each of their subordinates, their unofficial status was highlighted.

4. One supervisor claimed that prior to the developmental committee meeting he had personally identified the strongest and least strong aspects of his subordinates' behavior that the committee had developed; that he had already thoroughly discussed all this on a day-to-day basis with his subordinates and that he had already taken action on every recommendation that the committee generated. All this is theoretically possible and would probably be the situation if the supervisor were ideal. In this particular case, the same supervisor complained about the excess time consumed by having to perform the counseling session with his employee, thus leading one to suspect that all was not as perfect as he had maintained. Nevertheless, it is true that the developmental committee portion of this project produced little marginal benefit if the supervisor fulfilled his day-to-day responsibilities for the development of his subordinates.

In general, some difficulty was experienced in all developmental committees in keeping out interpersonal "evaluative" comments. This tendency to compare subordinates with one another required constant vigilance on the part of the Staff Coordinator. Even after emphasizing again and again that the developmental committee's primary goal was a list of recommendations for improvement, some members would make long abstract presentations on what a good employee the appraisee was. This type of behavior tended to be non-productive and tended to consume the valuable time of the committee members. Firm control by the chairman of the committee (the supervisor) and more indoctrination of committee members is recommended to reduce this non-productive behavior.

It was also sometimes difficult to get a developmental committee to think in terms of "building on strengths" rather than on merely making recommendations to reduce the least strong aspects of the subordinate's performance. This was evidently a different type of thinking concerning employee development for many of the participants serving on the developmental committees.

The recommendations generated by a committee were specific to the appraisee and to the work situation in which the appraisee performed. They ranged from recommendations for formal academic training to recommendations for specific work experiences (thinking only in terms of academic training was discouraged).

Appendix 5 contains the developmental reports generated by committees. It is possible, also, to use the developmental reports to provide relevant information for the command's training division of the on-site Personnel Department (as in Appendix 7). Examples of some of the recommendations for improvement follows:

- Learn the Civil Service rules and regulations concerning personnel actions
- Give more attention to the training and development of subordinates
- Explore means of showing more confidence in addressing groups...
consider participation in Toastmaster's Club
- Visit customers at their activity - find out how to better satisfy them
- Take an active role in instructing
- Recognize that part of the job is to deal fairly and effectively with personnel (and race) problems. Failure in this is as serious as a technical failure
- Seek suggestions from subordinates
- Negative relationships with co-workers consumes time and energy in non-productive activity for all parties concerned. Explore with supervisor the specific behaviors that arouse such negative feelings in others. Develop plans or strategies to change these negative impressions
- Be more positive in presenting own views to management
- Set up procedure for becoming familiar with all departmental personnel and work areas
- Consider writing article for customer service publication
- Give more emphasis to long-range planning and follow-through
- Explore ways to avoid assuming the detail work of others
- Move work location away from "control"
- Obtain and use dictionary
- Could act with more confidence/decisiveness - do not check with boss so much
- Be less timid in making decisions on routine matters
- Before concluding you "understand", explain the situation yourself for verification
- Increase cross-training of subordinates

The Developmental Report (Appendix 5), which results from the process described in the Management Development Manual (Enclosure (1)), provides the following basic information for each appraisee:

1. List of strongest and least strong aspects of their job performance as seen by others.
2. List of recommendations concerning the appraisee's development as seen by others.

The next step in the process is for the supervisor and the appraiser to use this information in working out goals for the appraisee's development. This is done in a goal setting counseling session which is discussed in Part III of this report.

PART III

COUNSELING AND GOAL SETTING

The Management Development Committee (see Part II) develops for the appraisee a list of his strongest and least strong aspects. This information has a special use which can be thought of in terms of the Johari Window*. In this conceptualization, a person is represented by a four cell matrix. The two columns representing aspects of the person known or unknown by himself. The rows represent aspects of the person known or unknown by others.

FIGURE III-1

	Known by Self	Unknown by Self
Known by Others	OPEN	BLIND AREAS
Unknown by Others	FACADE	UNKNOWN

The list of strongest and least strong performance aspects produced by the Developmental Committee probably represents, in part, information which falls into the "Blind" cell in Figure III-1. Reduction of this "Blind" area is considered to be a healthy or desirable change. To bring this about, the person must be made aware of the information known by others.

The information on the developmental report is information "Known by Others". What is needed is a feedback link to the individual so that he can learn what is known by others. The current program, as presented in the Developmental Manual (Enclosure (1)), puts this responsibility on the appraisee's supervisor.

Within a week following the Developmental Committee meeting, the appraisee's supervisor is to have a counseling session with him. This places the responsibility for the development and guidance of the employee squarely on the shoulders of the line supervisor. During the counseling session, three main objectives are to be accomplished:

1. Present Developmental Committee report to the appraisee. (An attempt to reduce appraisee's "Blind" area.)
2. Generate lists of personal development goals with accompanying target dates and evaluation criteria.

*Joseph Luft, Of Human Interaction; Palo Alto, Calif: National Press Books, 1969.

3. Generate a list of job or organizational goals with accompanying target dates and evaluative criteria.

This counseling session is a key link in the program. Unfortunately, as has been experienced by similar private industry programs, it was the weakest link. This weakness is attributed in part to the "not part of my job" belief of the supervisor. Another basic cause of the weakness is in a basic lack of skill and confidence in performing this supervisory function. With regard to the latter, the supervisor had available: 1) his past experiences (formal and informal) doing similar activities, 2) a description of the requirements as contained in the Development Manual, and 3) generally clarifying statements by the Staff Coordinator. These were evidently insufficient to prepare the supervisor for handling the counseling session, even though it was designed to avoid negative, judgmental aspects. Since most of the supervisors gained their supervisory skills under the current and past management of the organization in which they currently work, it seems reasonable to assume that management does not value and has not evaluated supervisors on performing this function. To change this situation, management would have to both value the "development of human assets" and evaluate all levels of supervision on achievement in this area. In addition, special on-the-job training in this function should be considered.

The "paperwork" required of the line supervisor by this program consisted of a listing of personal goals and a listing of organizational goals for each subordinate. This was usually contained on a single, double-spaced sheet of paper. Appendix 6 contains some of these counseling reports.

"Personal goals" are focused around the growth and development of the knowledge, skills, attitudes, etc. of the appraisee. The product of the Developmental Committee, the insights of the supervisor, and the values and insights of the appraisee himself were all to be used in developing these goals.

The "Organizational Goals" seemed to be even more difficult for the supervisors to handle than the Personal Development Goals. The supervisors could grasp the difference between Personal Goals and Organizational Goals, but not without some difficulty. Many persisted in treating the Developmental Committee report as material for setting Organizational Goals. Actually, the Developmental Committee concentrated on ways to develop the appraisee and did not discuss other organizational objectives.

Organizational goals involve setting position objectives for accomplishing the objectives of the section, division, department -- and ultimately, the missions of the total organization. Although, procedurally, the program ran from top to bottom in the organization so that each level of management would have organizational goals established for its respective level before setting goals for a lower level, there was very little evidence of "chaining" or connections between the goals set at one organizational level and those set at adjacent organizational levels. The impetus for a "goal setting" philosophy of managing must

come from the top, and this was lacking. But this rather simplistic explanation does not account for the general low quality of goal setting. Many managers and supervisor tried to do a good job, but evidently had not exercised much "planning" type thinking in the past and were thus lacking in the managerial skills required.

One of the principle investigators of this project surveyed the literature on Management by Objectives and prepared a manual on the topic, with an accompanying form. This manual and form are presented as Enclosure (3). It is suggested that this manual and form be used as a teaching and instruction device in Navy organizations wishing to adopt the Management by Objectives style of management. It is expected that experience with the manual and form would result in appropriate revisions.

At various times following the counseling session, the Staff Coordinator sent out follow-up memoranda to the supervisors. These follow-up memoranda were just reminders that goals had been set, and some achievement should be present. The main follow-up should be within the line organization. It should also be used as a basis for evaluating the work performance of each person in the organization. Evaluation on this "achievement of goals" is already required for Naval officers in the instructions to the "Report on the Fitness of Officers". (No officer with whom this was discussed indicated knowledge of its existence.) The same type of evaluation should be considered for civilians. Enclosure (2) presents a proposed civilian Performance Rating Form and Manual and includes the "achievement of goals" aspect. Part IV of this report, which follows, describes the development of the proposed evaluation form and manual.

PART IV

DEVELOPMENT OF PERFORMANCE EVALUATION MEASURES

Introduction

Two central themes are generally found in performance evaluation programs: employee development and appraisal, and the formulation of data providing the means by which administrative decisions concerning personnel may be made. Other parts of this report deal with the employee development and performance appraisal portions of the work conducted at NSC and NRFC San Diego: this section will discuss the development of performance evaluation measures to be used in administrative decision-making. Before moving to the discussions of the work done during the project, there are two issues that should be discussed first; thus, the next several pages address two issues or beliefs about performance evaluation that the research team has found to be of great interest to many NAVMAT Navy and Civil Service personnel: the appropriateness of the Fitness Report for evaluating NAVMAT civilians, and the relevance of job standards when evaluating NAVMAT civilians.

An assertion heard a number of times by members of the research team went something like this: "What we need for rating civilians is a form like the Fitness Report." ("Fitness Report" is the name typically applied to NAVPERS 1611/1, "Report on the Fitness of Officers.") The following paragraphs address the contention that a Fitness Report style form is what is required when evaluating Civil Service employees.

The best way to begin this discussion is to compare briefly the current Fitness Report and the associated procedures to the current Civil Service performance rating forms and procedures. The following table is used to facilitate these comparisons:

TABLE IV-1

Comparison of Fitness Report and Associated Procedures
With Civil Service Rating Form and Procedures

UNIFORMED NAVY

1. Fitness Report usually completed by reporting senior; C.O. signs and can change it
2. Individual rated is compared with peers
3. Officer typically has a new reporting senior (and C.O.) quite frequently. (Many raters over career)

CIVIL SERVICE

1. Rating form completed by supervisor
2. Individual rated is compared with job requirements
3. Civil servant typically has same supervisor for a number of years. (Few raters during career)

TABLE IV-1 (Cont.)

4. Fitness Report data used for:

Promotion
RIFs
Assignment
Officer Development ("Show and Tell")

4. Rating data used for:

Establishing protection of employment and documenting job exposure ("S" or "O" ratings)
Basis for awards and step increases
Removing from job or Civil Service ("U" rating)
Employee Development ("Show and Tell")

5. Apropos promotion:

From among peers

Fitness Reports provide all the data about officer

Promotion is to a rank which has a great variety of specific jobs associated with it; many people are considered

Usually, there are many positions to be filled

Decisions such as selecting out and promotion are made by a promotion board in the Washington, D.C. area. Information on-hand at BUPERS (Primarily Fitness Reports) is used, due to distance and numbers of officers involved, other data are rarely, if ever, gathered.

5. Apropos promotion, or job change:

By comparison with job requirements

"Voucher System" used to provide additional information (beyond that "O", "S", "U" rating form)

Can apply for a specific job; relatively few people are screened for it

Usually, there are few positions to be filled

Decisions such as discharge, demotion, merit increase, are usually initiated by the supervisor, followed by a review procedure at the (usually) local level. (With local review, questions can be asked of people involved.)

The most important difference between the Navy's officer performance evaluation system and the system used by the Civil Service are numbers 2, 3, and 5 in Table IV-1.

Points 2 and 5 demonstrate clear differences between Navy and Civil Service approaches to performance evaluation. The difference is between what rating standard is to be used. The Civil Service forms and procedures compare the individual with the requirements of the job directly, and comparisons among individuals can then be made, albeit indirectly. Navy officers are compared with their peers, by the raters, and the top performers (enough to fill the openings), according to these ratings, are promoted -- the presumption being they can satisfactorily fulfill the job requirements. Because many individuals' records typically have to be reviewed, the Navy requires a system of performance evaluation which expedites the record review and decision pro-

cess. The form has to differentiate among officers to such an extent that the required number of officers can be selected. Hence, a standard form like the Fitness Report seems to be mandatory for the Navy.

A standard form for all Civil Service employees is not mandatory because, as is mentioned in point five, most administrative decisions about Civil Service employees are made at the local level. Therefore, different locations may use different forms as part of their Civil Service personnel performance evaluation system.

The Civil Service "O,S,U" form (see Appendix 8), is used to identify 3 categories of performance. The Navy's requirement is to have performance evaluating data that identifies the top X% of the officers in each rank. The 3 Civil Service rating categories provide all the data needed for most administrative decisions (see point 4 in Table IV-1). The "O,S,U" form is recognized as not providing enough information for promotion decisions, however, and it can be supplemented by data gathered via the "voucher system".

Point number 3 in Table IV-1 makes obvious another major difference between the Navy's officer evaluation system and the Civil Service system: Navy officers have the same reporting senior for a shorter time than do most individuals in the Civil Service. Therefore, a Navy officer in general would be rated by more raters than would a Civil Service employee. The impact of this is to level out differences in ratings due to personal rating styles of different raters. The presumption would be that the aggregated ratings of a given Navy officer would yield a truer view of that officer than would the aggregated ratings given a Civil Service employee.

One additional benefit accruing from the situation in the Navy whereby ratees change from one rater to the next is that the raters of Navy officers develop a broadly based reservoir of rating experience. Raters of Navy officers should become more astute performance evaluators (if practice matters) than do most raters of Civil Service employees.

The major differences between civilian and military evaluation procedures are the average number of different raters who have rated the individual, the remoteness and massiveness of the administrative decision-making apparatus, and the standard of comparison to be used when making ratings.

It also seems worth noting that neither the official Navy nor the official Civil Service performance evaluation procedures pay more than passing attention to the development of the ratee -- and that primarily via "show and tell".

It can be said that many of the rating scales on the current Fitness Report might have some relevance when evaluating Civil Service personnel, but the rating scales developed during this research are known to be relevant to the occupations studied. The civilian scales are not like the ones now used for officers. Further, the Fitness Report utilizes a rating standard of comparison with peers, whereas the Civil Service uses a rating standard of comparison of the individual with the job requirements. Any form developed to evaluate Civil Service personnel would, as the Fitness Report does, have many rating scales. Nevertheless, the scales would address different variables, and the standard of rating comparison would not be the ratee's peers.

Relevance of Job Standards when Evaluating NAVMAT Civilians

The job standard approach to evaluating job performance customarily means that output measures (from work efforts) will be used in evaluating a person's performance. It will be the object of this section to show why job standards will ordinarily not suffice when evaluating the job performance of NAVMAT civilians. The discussion seems to be best carried out using the concepts of deficiency and contamination.

A performance evaluation measure, or a set of such measures, is deficient when it does not assess all of the variables required to describe performance effectiveness. Using only a variable such as "number of receipts processed" to assess a manager's performance, would ordinarily give an incomplete, i.e. deficient, representation of that manager's contribution to the organization. Output measures, even if numerous, will usually give an incomplete representation of a manager's performance. The only exception may occur when the output measures are gathered over a long period of time. Then one may begin to assume that the consequences of the manager's decisions and behaviors will have been manifested in outputs. The requirement of waiting a period of time would often be unacceptable, as decisions concerning managers frequently have to be made "here and now".

Output measures are also frequently contaminated, i.e. influenced, by other variables. If, for example, one wishes to compare the safety records accumulated by different work groups and use those data to evaluate the foreman, one would have to be sure that the work groups were exposed to comparable hazards. The contamination of output measures can be extraordinarily difficult to overcome.

Because output measures are not perfect because they are partly deficient and contaminated, job behavior measures are typically included in a performance evaluation system. These measures assess behaviors deemed relevant to effective job performance. The rating scales developed in this project and shown in Technical Report NPS-55Gh73063.

Purpose of the Performance Scale Development

This portion of the research was aimed at developing reliable and valid measures of performance which would also be accepted by raters and personnel decision-makers. Somewhat surprisingly, perhaps, acceptance of an evaluation system by raters and others has been the Achilles heel of a great many performance measuring schemes. Thus, the researcher's desiderata of reliability and validity may not be sufficient when the usefulness of a performance evaluation system is adjudicated by its users. Though rater acceptance is necessary, its existence does not gainsay the need for a psychometrically sound performance evaluation system; it is to these psychometric issues that the discussion now turns.

Reliability and validity address the issue of what is to be measured and the precision with which "it" is measured. The concept of reliability, as it will be used here, has essentially nothing to do with other uses to which the term "reliability" is put - uses such as mean time between failure, and the like.

Reliability

Reliability, as the term is generally used by behavioral scientists and measurement theorists, refers to the extent to which independent attempts at measuring the same attribute of the same objects yield the same results, when maximally similar measurement methods are used. In the specific instance of performance evaluation, reliability typically refers to the relationship between ratings of the same ratees, when the ratings are provided by equally qualified raters who have not influenced one another's ratings.

Unreliable rating scales frequently result from scales that seem vague and imprecise to the raters. By developing rating scales which are written and defined in the language system of the raters, inter-rater agreement is, at the least, not thwarted by the rating form. The methodology used by the research team to develop performance measures sought to utilize the rater's vocabulary, thereby facilitating the attainment of inter-rater agreement. The method used in developing the performance measures also employed a retranslation step as another way of ensuring the reliability of the data that could be collected using those measures. (The details of the performance rating scale development methodology are given in a somewhat later portion of this section of the report.)

Validity

The validity of a measure is how well it measures what it purports to measure. More abstractly, the validity of a measure indicates the meanings or interpretations that can be associated with the measure, where "meanings" or interpretations" are given by the network of relationships between that measure and other concepts and their measures.

As the validity of a performance measure is how well it measures what it claims to measure, the validity of a set of performance evaluation scales is equal to the extent to which the set of scales measure what they purport to measure. Hence, if a performance measure (or set of measures) is being used to reward past performance, it should be a valid measure of past performance. A problem often encountered is that a valid measure of past performance is not predictive of future performance (particularly performance in a new job).

The performance development scales developed by the project's research team were intended to be valid measures of past performance. They are not, therefore, necessarily valid as indicators of future performance. The method used by the research team to identify and to operationalize performance measures was designed to sample exhaustively the universe of relevant measures of past performance for each of the jobs studied. The extent to which these performance evaluation measures are valid as predictors of performance in other jobs can be in part answered when this section of the research is placed in juxtaposition with Technical Report NPS-55Ea73061, DESIGN OF OPERATIONAL CAREER LADDERS.

Scale Construction Procedures

The method used to construct the performance evaluation measures for any particular occupational area heavily involved the personnel in these jobs in the formulation of the scales. The following paragraphs will outline the participation of the NSC and NRFC employees in the scale development and will sketch the reasons for, and the utilization given, their participation. The sequence of activities in the development of the performance measures for any particular occupation is best described in terms of a series of stages:

Stage I:

Supervisors in the occupational area would meet with one or more members of the research team in a group session. The research team would lead the supervisors (military and/or civilian) in a "brainstorming" session focusing on the variables they thought relevant in evaluating the performance of someone in that occupation. These variables were listed on a chalkboard as they were developed. At this stage, errors of omission were to be considered as considerably more costly than errors of commission.

Stage II:

In this stage, group members were encouraged to interact in order to determine if any of the variables on the list developed in Stage I should be combined. The research team stressed that these combinations were to be made only when there was no doubt; such combining of variables in the list should not be construed as being necessary, and should only be done when all of the participants were sure the combined variables were operationally identical.

Stage III:

The list of variables was trichotomized by the research team. One set of variables dealing with measurable results of performance; e.g., units produced or processed, a second set of variables dealing with work behaviors; e.g., absenteeism, and the last set of variables including personal attributes; e.g., loyalty. Discussions were then held concerning how to measure the variables in the first two sets. This portion of the group's work often passed quickly, particularly, of course, when both were empty sets.

The next section of this stage focused attention on the personal attributes class of variables. Beginning with the first of these variables, "critical incidents" were provided by the team members ("critical incidents" are particularly effective, or singularly ineffective, job behaviors), in order to operationalize the variable and to develop a rating scale for that variable. As the critical incidents were provided, they were each assigned an initial position on the tentative rating scales. Thus, an attempt was made to assign a scale value to each critical incident. The goal of these two steps of developing and scaling critical incidents for each scale was to develop rating scales in terms of observable behaviors, rather than in terms of semantic swamps such as "excellent", "frequently", "4.0", etc. The development of the critical incidents acting as tie-downs for the entire set of rating scales for a particular occupational area typically required many hours of work by the group.

Stage IV:

In Stage IV, the critical incidents which had been generated for an occupational area's rating scales were presented to the individual members of that group. For each incident, the group member was asked to decide which rating scale area the incident illustrated. This step is like the retranslation step taken in a translation-retranslation procedure when a translator changes a text, say, from English to Russian. The retranslation step, as from Russian back to English again, allows one to ascertain the accuracy with which one is communicating their intent.

The results of these retranslations were then analyzed by members of the research team. Incidents which were not retranslated with near unanimity back to the rating scale they were originally claimed to illustrate were then eliminated. Incidents were also eliminated if the data showed that people disagreed as to where the incident fell on the rating scale. Similarly, rating scale areas were dropped when they had few, or no, incidents unanimously retranslated to them.

The results of this rigorous procedure yielded the rating scales that can be utilized in evaluating the performances of individuals in their occupations. The rating scales developed in this way had been shown to be useable, because the potential raters involved in the scale development had demonstrated that they agreed with one another concerning what observable behaviors were associated with each of the rating scales. Additionally, points along each rating scale had been defined in terms of observable behaviors, and the potential raters agreed with one another concerning the behaviors defining the points on the rating scale. Finally, this procedure for developing rating scales should have facilitated rater acceptance of the scales as measures to be used conscientiously in evaluating on-the-job performance.

A somewhat incidental but extraordinarily important benefit deriving from the method used to construct the performance evaluation measures is the training it gave supervisors in evaluating performance. The research team provided the participating supervisors with a framework for thinking about performance evaluation. The scale construction methodology required supervisors to share with one another what they considered as relevant when evaluating performance in that occupation, and consequently many agreements and disagreements among their views became apparent. Likewise, the scale construction procedures forced supervisors to specify the work behaviors they considered as indicative of effective and ineffective performance and revealed to the supervisors that their perceptions and beliefs did not always fit with those of their peers. The process of generating examples of effective and ineffective work behaviors also brought home (hopefully) to the supervisors the need to interact with, and observe, their subordinates. In general, this would not be an unimportant outcome.

DEVELOPMENT OF TRANS-OCCUPATIONAL RATING SCALES

The preceeding paragraphs described how rating scales were developed for one occupation at a time. After completing this procedure for each of the specific occupations studied, efforts were made to maximize the commonality of the rating scales among the occupational areas.

Maximum commonality among the rating scales for the different occupations was sought for several reasons. First, for the rater who has to rate people in several different occupations, or, perhaps, review the ratings given to people in different occupations, commonality would be helpful. Second, commonality among forms would minimize the not-so-trivial problems of form reproduction and form control. Third, commonality of rating scales over different occupations would facilitate comparisons involving ratees from different occupations -- should that ever be necessary.

After reviewing the rating scales generated for the different occupations, it was apparent that several rating scales were associated with each of the occupations. The rating areas of Initiative, Interpersonal Relations, Communications, and Technical Skill/Knowledge are four specific examples of the eight rating areas developed independently for each of the occupations. After identifying these common rating areas, the next step was to compare the behaviors used to define these scales in the separate occupations. The comparisons of the behaviors associated with the scales were required to determine if the defining behaviors were unique to an occupation, rather than trans-occupational. The set of behaviors associated with a particular scale can, of course, range from being totally unique to that occupation, to being totally applicable to all other occupations; as it turned out, the behaviors defining a scale were usually nearer to the latter case than they were to the former. Behaviors developed to define scales in one occupation were then used where possible in defining that same scale for other occupations. One rating area that was developed for all of the nonsupervisory occupational areas, did, however, turn out to have behaviors associated with it that were idiosyncratic to each particular occupation. This was the rating area of Technical Skill/Knowledge. Because the behaviors associated with this rating area were almost always not trans-occupational, the Technical Skill/Knowledge ratings scales each apply to only one occupation. It should be pointed out, too, that behaviors associated with a rating scale, but which were behavioral anchors unique to that occupation, were retained and used with that rating scale for that occupation.

Occupations for Which Performance Measures were Developed

The occupations for which performance measures were developed were at NSC and NRFC, San Diego, and the participants were job incumbents from both of these organizations. Table IV-1 shows the occupations, and the organization(s) in which they were located, which had performance measures developed using the method described in this section:

TABLE IV-1
Occupations for which Performance
Evaluation Measures were Developed

<u>Occupation</u>	<u>Organization(s) in which Occupation was Located</u>
Budget Analyst	NSC
Computer Specialist	NSC & NRFC
Equipment Specialist	NSC
General Supervisor*	NSC & NRFC
Inventory Manager	NSC
Management Analyst	NSC & NRFC
Military Pay Specialist	NRFC
Property Disposal Specialist**	NSC

*The supervisors participating in the scale development represented several different occupations themselves.

**Transferred to GSA after the scale development was completed.

The following table lists the names of the individuals participating in the performance scale development efforts and also gives their organizational memberships:

TABLE IV-2
Scale Construction Group Participants

<u>Budget Analyst</u>	<u>Inventory Manager</u>
Norm Chappell, Code 52, NSC	LT Ewing, Code 100, NSC*
Dick Ryberg, Code 51, NSC	Pauline Graves, Code 101, NSC
Betty Wright, Code 51, NSC	
<u>Supervisor/Manager</u>	<u>Equipment Specialist</u>
Norm Chappell, Code 52, NSC	Glen Walden, Code 305, NSC
Ted Palmgren, Code 21, NSC	H. Van Doren, Code 902, NSC**
A. Boardman, Code 305, NSC	C. Andrew, Code 902, NSC**
Bessie Greer, Code 3041, NSC	D. Hathaway, Code 103, NSC
<u>Property Disposal Specialist</u>	<u>Management Analyst</u>
J. McAnulty, Code 900, NSC**	LCDR Ebbesen, Code 51, NSC
H. Van Doren, Code 902, NSC**	Dick Girtten, Code 51, NSC
C. Andrew, Code 902, NSC**	CDR Coon, Code M, NRFC
C. Birdwell, Code 901, NSC**	Ken Sether, Code S, NRFC
<u>Military Pay Specialist</u>	<u>Computer Specialist</u>
Joe Licata, Code E, NRFC	Roy Lunday, Code D, NRFC
Cliff Loftin, Code M, NRFC	G. Schulte, Code DP, NRFC
	C. Moseley, Code DP, NRFC
	LT Rinaldo, Code DP, NRFC
	LT Oshima, Code DP, NRFC*

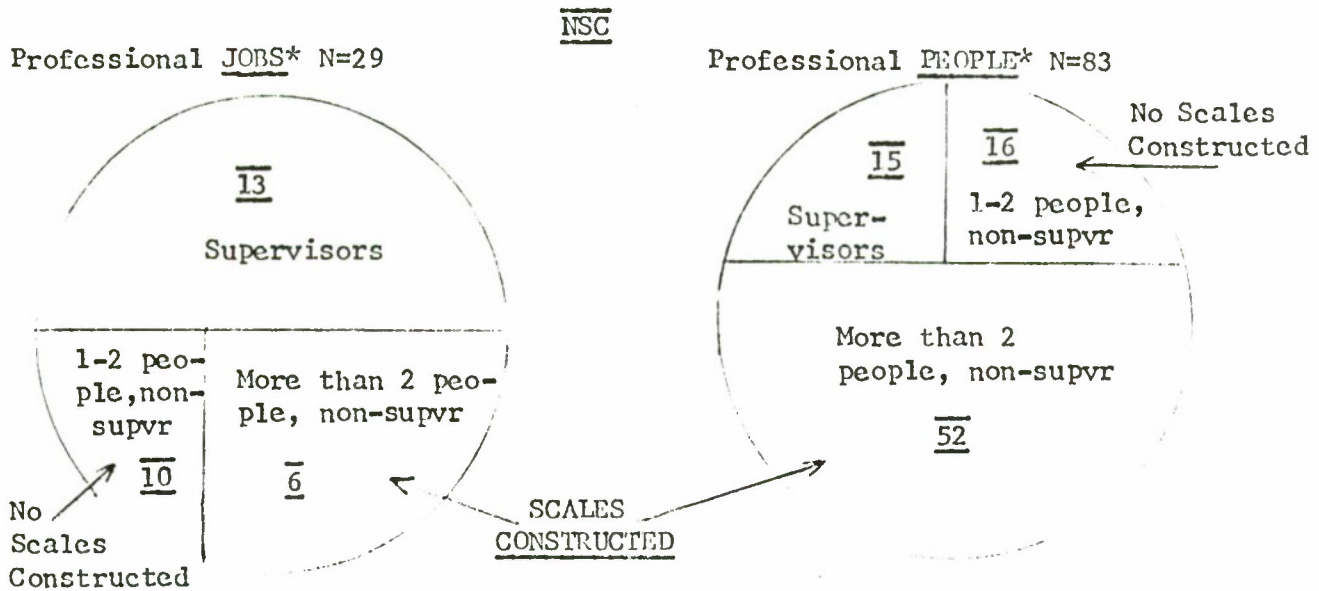
*Transferred.

**Transferred to DSA.

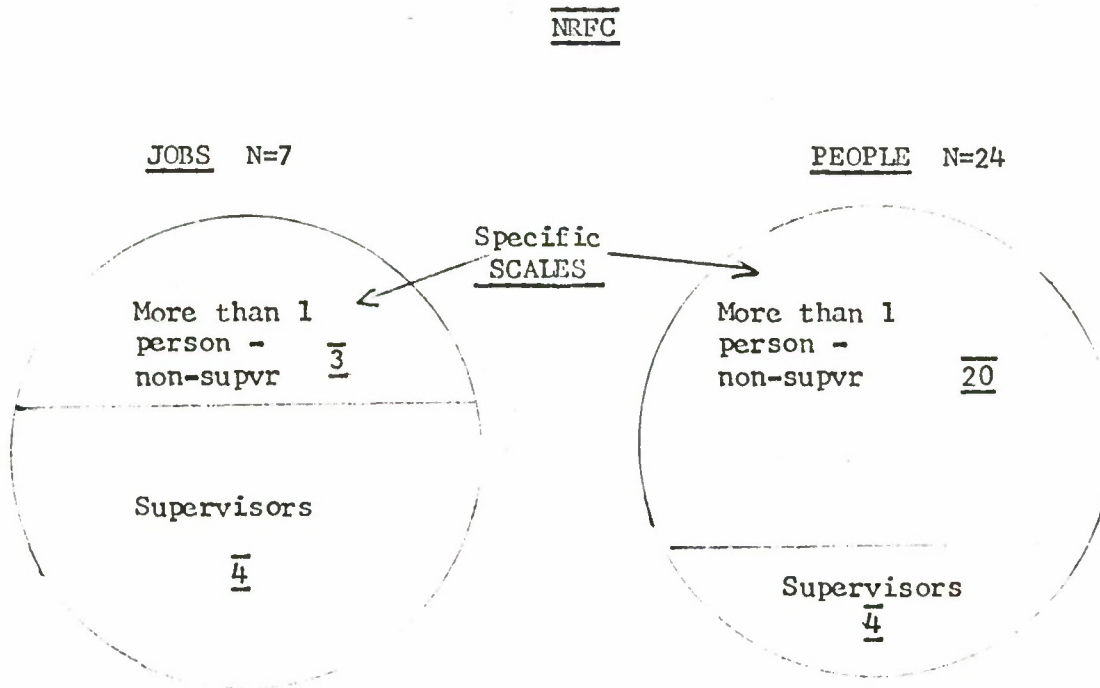
The performance evaluation scale construction efforts yielded a rather complete coverage of the professional jobs and positions in both the NRFC and NSC, San Diego. Figure IV-1 portrays these coverages. The only professional jobs for which scales were not developed were in NSC, and those were jobs in which there were one or two persons in the job (one or two positions per job), and the job was nonsupervisory in nature.

From the results of the procedures outlined in this section, the NPS research team has developed a Rating Manual with accompanying form. This manual can be found in Technical Report NPS-55Gh73063.

FIGURE IV-1
SCALE CONSTRUCTION COMPLETION DATA



*Personnel Dept not included



APPENDIX 1

PROJECT PROPOSAL

NAVAL POSTGRADUATE SCHOOL
Monterey, California

PROPOSAL FOR RESEARCH

Submitted to: Naval Supply Systems Command
Department of the Navy
Washington, D. C. 20370

SUMMARY

1. Title: Design of an Operational Personnel Development and Evaluation System.
2. Period of Proposed Research: 1 July 1972 to 30 June 1973
3. Total Estimated Cost: \$76,000
4. Principal Investigator:
Gerald Musgrave, Assistant Professor
Department of Operations Research and
Administrative Sciences
5. Brief Description: A management system will be developed which will evaluate the work performance of civilian supervisors employed by the Naval Supply Center and Naval Regional Finance Center in San Diego.

The plan will include an evaluation system to measure both the effectiveness of the employees and the effectiveness of the performance evaluation system.

6. Reviewed and Recommend Approval:

JACK R. BORSTING, Chairman
Department of Operations Research
and Administrative Sciences

JOHN M. WOZENCRAFT
Dean of Research Administration

MILTON U. CLAUSER
Provost

7. Approved:

MASON FREEMAN
Rear Admiral, U. S. Navy
Superintendent

INTRODUCTION:

The effectiveness of any organization is heavily dependent upon the quality of its personnel. The right people must be originally selected into the organization; must be motivated to work by the organizational environment and by their jobs, and the correct personnel promotion and training decisions must be made in filling the organization's nonentry level jobs. An adequate personnel performance evaluation system is a crucial cornerstone in this process, as it provides the data needed for most of the required administrative decisions and such a system plays a key role in motivating personnel to utilize their abilities in pursuing the organization's goals. This proposal deals with developing an improved performance system for several occupational areas within the Naval Material Command.

OBJECTIVES:

The immediate purpose of this research project is to develop a prototype performance evaluation system to be used in assessing the performance effectiveness of professional graded civilians at the Naval Supply Center and Naval Regional Finance Center in San Diego, California. As one would hope that an improved performance evaluation system would yield greater organizational effectiveness, data on the performance of the two organizations will also be gathered and analyzed.

The final objective of this research is to develop a performance evaluation system that can be used for professional graded civilians throughout the Supply and Financial Management arms of the Naval Material Command. The performance evaluation system would then be used in promotion and personnel selection decisions in these occupations. Additionally, the performance evaluation system will provide the data, and the managerial attitudes, necessary for the implementation of management development programs within the target professional occupations.

METHODOLOGY:

One of the first problems faced in developing a performance evaluation system is to get supervisors to think discriminately about job performance. To illustrate, it is not uncommon to find individuals in organizations who are not sure of what their supervisors expect them to perform in their jobs, or to find supervisors who can't explicate how they evaluate their subordinates. Further, it is not uncommon to find organizations in which the linkages between organizational goals and the tasks performed in individual jobs are hazy or nonexistent. A technique which helps to overcome these inadequacies is that of management by objectives.^{1,2,3} This technique will be used to develop the operational objectives for the Naval Supply Center and the Naval Regional Finance Center in San Diego.

1. Peter F. Drucker, The Practice of Management, New York: Harper & Row, 1954.
2. Douglas McGregor, The Human Side of Enterprise, New York: McGraw-Hill, 1960.
3. George Odiorne, Management by Objectives, New York: Pitman Pub. Corp., 1965.

Management by objectives methods will also be used in deriving the performance goals for the civilian jobs in the two organizations. By using the management by objectives technique, then, the jobs in the organizations will be defined and linked to the objectives of the organizations. Having accomplished this, the foundation will have been placed for the additional research necessary to develop a prototype performance evaluation system.

"Group Appraisals" is an additional technique that will be utilized to get supervisors to think discriminatingly about job performance. In this, each professional civilian will be evaluated by a small group of his superiors (those who can observe his performance and are above the organizational hierarchy level of the appraisee) and a member of the research team. This part of the study will emphasize the developmental aspects of performance appraisal, producing a list of strengths, weaknesses, and individually tailored recommendations for improvement of each appraisee.

Recalling that the final objective of this research is the development of a performance evaluation system for use with civilians in professional occupations throughout the Financial and Supply areas in NavMat, the evaluation system must also provide data for the administration of the personnel in these occupational areas. To serve these administrative needs, the professional level jobs in the two occupational areas will be studied using task analyses and critical incidents methodologies.³ The data from the application of these techniques will be used for identifying performance evaluation scales and for describing the jobs in the sample in terms of the dimensions along which they lie. In addition to attempting to define these dimensions, cluster analysis techniques will be used to structure empirical job groupings and job hierarchies within the various occupational areas studied.

In order to determine the impact on the performance of the San Diego organizations from the research process and from the implementation of the research findings, organizational measures, e.g., error rates, personnel turnover, etc., and personnel attitude data will be collected during the early and the latter stages of the research. These data will be analyzed using appropriate statistical techniques.

After the design stage of the project is completed and coordinated with headquarters personnel, the proposed system will be established on an experimental basis in San Diego. On both the design and implementation level, Naval officers in the master's degree program in the Department of Operations Analysis and Administrative Science at the Naval Postgraduate School will participate in various ways including writing thesis on topics relevant to the project.

In the process of implementing the system, we expect a feedback effect to occur. The system will be modified and fine tuned as our experience dictates. The effectiveness of the system in the chosen activity will be measured and progress reports will be forwarded every three months.

3. John P. Campbell, et. al., Managerial Behavior Performance and Effectiveness, New York: McGraw-Hill, 1970.

REPORTS:

Quarterly progress reports will be submitted, followed by an annual report

RESEARCH PERSONNEL:

Investigators:

Gerald Musgrave, Assistant Professor

R. S. Elster, Associate Professor

Wm. H. Githens, Associate Professor

J. W. Creighton, Professor

BUDGET:*

Faculty Salaries	\$46,700
Faculty Travel	4,300
Secretarial help	16,000
Programmers	4,000
Student Travel	<u>5,000</u>
	\$76,000

*Some of this research will be conducted in San Diego and some of the secretarial help will be from that activity.

TECHNICAL DEVELOPMENT PLAN
PERSONNEL DEVELOPMENT AND EVALUATION SYSTEM

April 1972

Naval Postgraduate School
Monterey, California

1.0 Executive Summary

1.1 Mission and Objective

It is proposed that a demonstration project be established to design, implement and evaluate the effectiveness of a new management system for the appraisal of performance and the assessment of potential for civilian employees of the Navy. The objective is to develop an operational system, using financial management and supply professional occupations, as a demonstration of the capabilities of the proposed system. The system to be developed uses some principles of management by objectives, but also includes aspects of other evaluative methods such as job element analysis. This system will include some basic ideas of MBO, for example, mutual goal setting along both vertical and horizontal organizational structures. Those jobs or aspects of jobs for which mutual goal setting is inappropriate, will be evaluated using methods which are applicable to jobs that have limited discretion of action.

1.2 Methodology

A number of techniques for performance appraisal have been suggested and attempted. Unfortunately, it is not possible to completely separate the quality of the method from the quality of the implementation of the method. It is proposed that the system be designed in the light of the special problems of implementing such a system in the Navy. In addition, the implementation will be supervised at each step by people connected with this project. The system

will be designed using current knowledge of effective methods of personnel appraisal which is far broader than MBO alone. In order to develop methods of assessing potential research will be conducted on identifying and validating the scales and dimensions for the various professional occupations under consideration such as: Accounting and Budget, General Accounting, Financial Management, Accounting and Budget Administration; Supply Analysis, Inventory Management, Storage Management, Preservation and Packaging, Cataloging, Property Disposal, Property Utilization, General Supply Management, General Transportation Management, Traffic Management, Management Analysis, and Systems Analysis.

After the design stage of the project is completed and coordinated with headquarters personnel, a chosen Navy activity will be used to establish the system on an operational basis. On both the design and implementation level, Naval officers in the master's degree program in management at the Naval Postgraduate School will participate in various ways including writing thesis on topics relevant to the project.

In the process of implementing the system, we expect a feedback effect to occur. The system will be modified and fine tuned as our experience dictates. The effectiveness of the system in the chosen activity will be measured and progress reports will be forwarded every three months.

2.0 Milestones and Products

2.1 System Characteristics

This system is applicable to the general area of personnel management within NAVSUP and NAVCOMP. The system is specifically oriented toward the measurement of on-job performance as related to mission effectiveness and operational efficiency. Career development, job performance appraisal and career potential evaluation of civilian employees is essential to achieving organizational and individual goals. The proposed system will use individual goal measuring techniques and mutual goal congruence methods. This proposed study and implementation of methods via a demonstration project is likely to produce improved motivation and personnel management of civilian employees of the Navy.

2.2 Review of Literature

[Begin July 1 - concurrent to end of project]

General review of management, personnel, and behavioral science literature related to management by objectives, task analysis and mutual goal setting.

2.21 Product

- a. Annotated bibliography of relevant literature. This material will be useful in developing the system and in future personnel systems. [Completed June 73].
- b. Preliminary reference reading. This material will be available to personnel managers at the demonstration

activity. The purpose of this is to familiarize the activity's management with our general objectives and methods. [Completed July 72].

2.3 Research Familiarization with the Demonstration Activity.

[Begin July - Eng August 1, 1972]

General indoctrination to the organization, its mission, management and management personnel.

2.31 Product

- a. Review of organization structure
- b. Report and evaluation of general managerial topics.
- c. Review job descriptions [Completed August 72].

2.4 Naval Officer Student Participation

Students in the Masters' degree program in Management at Naval Postgraduate School will engage in research related to this project. This effort will be concurrent with the project.

[Begin July - Concurrent to end of project].

2.4.1 Products

- a. Student involvement in the area of effectively managing civilians.
- b. Term papers relevant to civilian career management.
- c. Masters' thesis by officer students (P coded areas of; personnel, general management, financial management and Quantitative analysis). [Thesis completion six months after start of thesis - Numbers unknown at this time - (four in process now) Total of approximately 12-15].

2.5 Preparation of Command Indoctrination

[Begin August 1 - End September 1, 72]

The purpose of this step is to fully explain the goals and objectives of our program to the civilian personnel. The preparation of this first major step is highly important since the initial reaction of the people tends to influence the acceptability of the program throughout the system development.

2.5.1 Products

- a. A "First-run" statement of major organizational goals and methods of achieving those goals.
- b. Discussion of background materials with managers.
- c. Preparation of necessary instructional materials used in the mutual goal setting.
- d. Development of Organizational effectiveness and motivation questionnaire.
- e. Design of appraisal/mutual goal forms.

[Completion date September 15 of all steps].

2.6 Preparation of Job Element Analysis

[Begin September 18 - concurrently with Management by Objectives]

This project milestone is the preparation of a "task inventory". The methodology and techniques used in the design of the inventory will be tailored to NAVCOMP and NAVSUP requirements for the occupations chosen.

2.6.1 Products

- a. Design of task Inventory
(Methodology and techniques at the demonstration activity)
- b. Finalized plan of action for the establishment of the task inventory
[Completion by October 13]

2.7 Mutual Goal Setting Procedures

[Begin September 18 concurrently with task analysis]

This project milestone is the preparation and actual design of the management by objectives type program. This is more comprehensive than typical MBO approach and the program is specialized for NAVCOMP and NAVSUP people.

2.7.1 Products

- a. Administration of organizational effectiveness and motivation questionnaire.
- b. Establishment of Vertical Organizational Mutual Goal Setting procedures.
- c. Establishment of Horizontal Organizational Mutual Goal Setting methods.
- d. Design of Career Development analysis.
[Completed by October 13].

2.8 First Round Mutual Goal Setting

[Begin October 30- End November 17, 1972]

This step is the first run mutual goal setting. The actual

procedures, methods and scheduling have been established. The research team in conjunction with personnel from the activity will participate in mutual goal setting. In addition, continuing evaluation of the system will proceed at this time.

2.8.1 Products

- a. Administration of Appraisal/Goal Forms.
- b. Consulting with research team on mutual goal setting.
- c. Analysis of Appraisal/ Goal Forms
- d. Necessary revisions of procedures and forms where necessary.

[All steps completed by November 17].

2.9 Report on current on-job Goals and Objectives

[Begin November 20 - End November 30].

At this time a formal report is presented to the activity on the analysis and findings of the project to date. A copy of the report is forwarded to headquarters for review and comment.

2.9.1 Product

- a. Report on current on-job goals and objectives.
- b. Statements from activity and headquarters on the progress and findings of the research team.

[Completed November 30, 1972].

2.10 Interface and Integration of Individual on-job Goals and Organizational Objectives

[Begin December 1 - End March 1, 1973].

This process is the interconnection between supervisor and subordinate. Procedures have been established to achieve goal congruence

and measurement of goal achievement. This process involves feed-back and control effects in the organization. The result of this process is a finalization of the measurement of goal achievement.

2.10.1 Products

- a. Finalization of goal measurement.
- b. Statement of Goal Accomplishment for each employee and standards for each task.

[Completed by March 1, 1972].

2.11 Pilot Rating Forms

[Begin December 15 - End April 2, 1973]

Goal accomplishment measures and the results of job element and task analysis are combined to develop evaluative methods for individuals. The research team will demonstrate how these results can be used in the evaluation of individuals for administrative personnel.

2.11.1 Products

- a. Report on use of goal accomplishment measurement, task and job element analysis in personnel management in selected occupations of NAVSUP and NAVCOMP.

[Completed April 2, 1973].

2.12 Applicability of the "Personnel Development and Evaluation System"
[Begin March 15, 1973 - End June 15, 1973].

This study will investigate the general applicability of systems such as this to other activities. Both NAVCOMP and NAVSUP activities will be studied. It is believed at this time we will have sufficient information on the work at the demonstration activity to carefully analyze additional occupations which might be included in future systems. It is also highly probable that officer students will be interested in studying the issue of effective personnel management in these areas.

2.12.1 Products

- a. Study on the general applicability of "The Personnel Development and Evaluation System" to civilian personnel management in the Navy.

[Completed by June 15, 1972].

2.13 Actual on-job Performance Evaluation
[Begin April 9 - End April 30]

Supervisors will use the materials and methods developed to evaluate the personnel under consideration.

2.13.1 Products

- a. Information for each man's personnel file:
List of mutual goals generated with Supervisor, including
method of measurement agreed upon. Three-month status report
which includes revisions in goals.

- b. Performance evaluation based on the method and procedure developed. (Will include relevant variables for the job or position and an indication of performance quality compared to others in similar billets.
- c. A list of recommended actions to be taken by management, by the supervisor, or by the man himself in order to bring about improved performance.
[Completed for all individuals by May 30].

2.14 Organizational effectiveness and motivation post test and evaluation

[Begin May 1 - End June 1, 1973]

The purpose of this examination is to determine if the organization has benefited from the "Personnel Development and Evaluation System".

2.14.1 Products

- a. Administration of Post test on organizational effectiveness and motivation.
- b. Analysis of Pre/Post test comparison. [a and b completed June 1, 1973].
- c. Discussion with management of activity and written comment on the system by management.

2.15 Final Report

[Begin June 1 - End June 29].

The final report is a summary of our findings and recommendations.

2.15.1 Product

a. Final Report

I. Introductory Material

Problems Encountered

Testimonials of Success and/or Failure

Relation of general performance evaluation to the system
which was developed

(Examples of mutual goals in appendix)

II. Products related to Task Analysis

Introductory Material

Problems Encountered

Methods, forms, instructions generated

Relationship to generation of performance evaluation system
(Examples in Appendix)

III. Performance Evaluation Products

Establishment of relevant criteria specific to jobs.

Various measurements, methods attempted, and evaluation
of each, and a recommended method.

Instruction, forms, procedures for the recommended method.

IV. Career Development Products

Recommended utilization procedures, the performance
evaluation data and the task analysis information.

Influence on work motivation and individual development.

The influence of career development counseling.

V. Recommendations for certain aspects of this study to be considered for study or adoption by other commands.

[Completed by June 29, 1973].

3.0 Level of Effort

- a. Faculty salaries include benefits such as insurance, retirement, etc. This is estimated to amount to 30% of the base salary which is NPGS standard. Faculty effort is one and three quarters (1-3/4) man years. The faculty loading is as follows:

Professor Wally Creighton	1 academic QTR
Assoc. Professor Dick Elster	2 academic QTRS
Assoc. Professor Bill Githens	2 academic QTRS
Asst. Professor Gerry Musgrave	2 academic QTRS

- b. Faculty travel includes trips to Washington, D.C. The Demonstration Activity and funds for Headquarters personnel to Monterey and the Demonstration Activity.
- c. Four secretaries will be needed to staff the clerical functions.
- d. Programmer will be responsible for automation of the data acquisition and computer analysis.
- e. Student travel includes funds to support student activity at the Demonstration Activity.

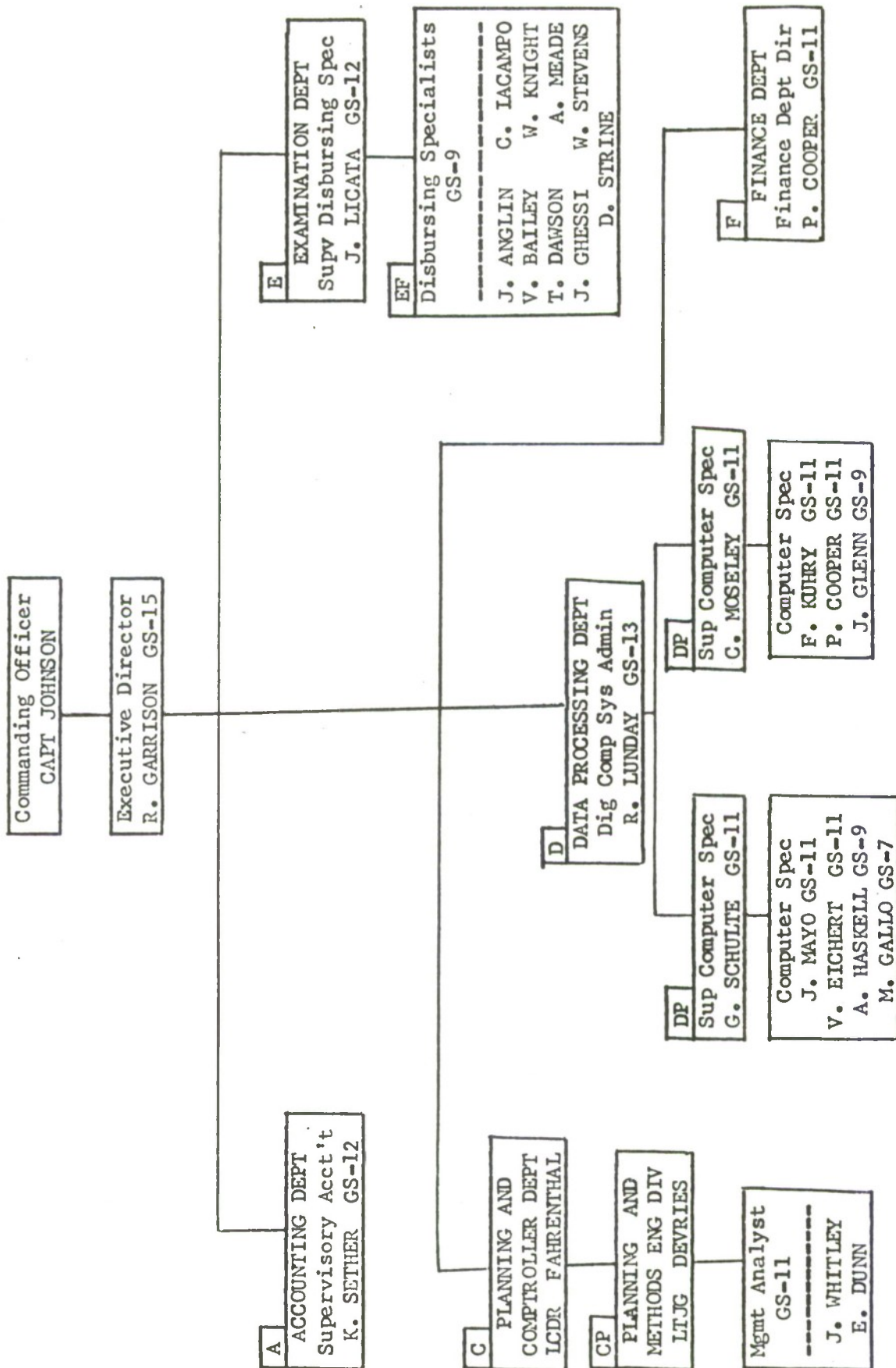
4.0 Budget

Faculty Salaries	\$ 46,700
Faculty Travel	3,600
Secretarial Staff	16,000
Programmers	5,000
Student travel	5,000
	<hr/>
	\$ 76,300

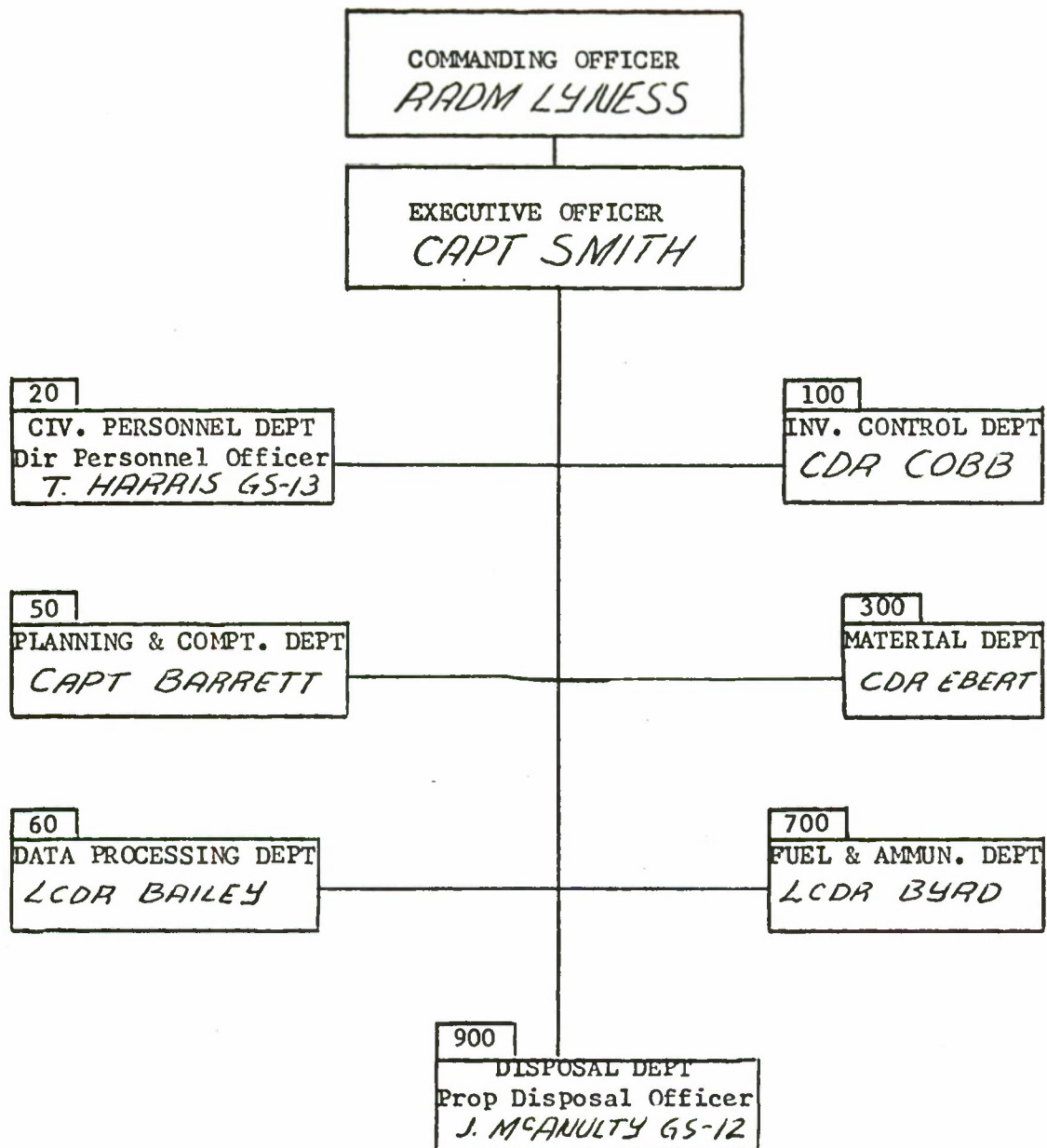
APPENDIX 2

ORGANIZATIONAL CHARTS

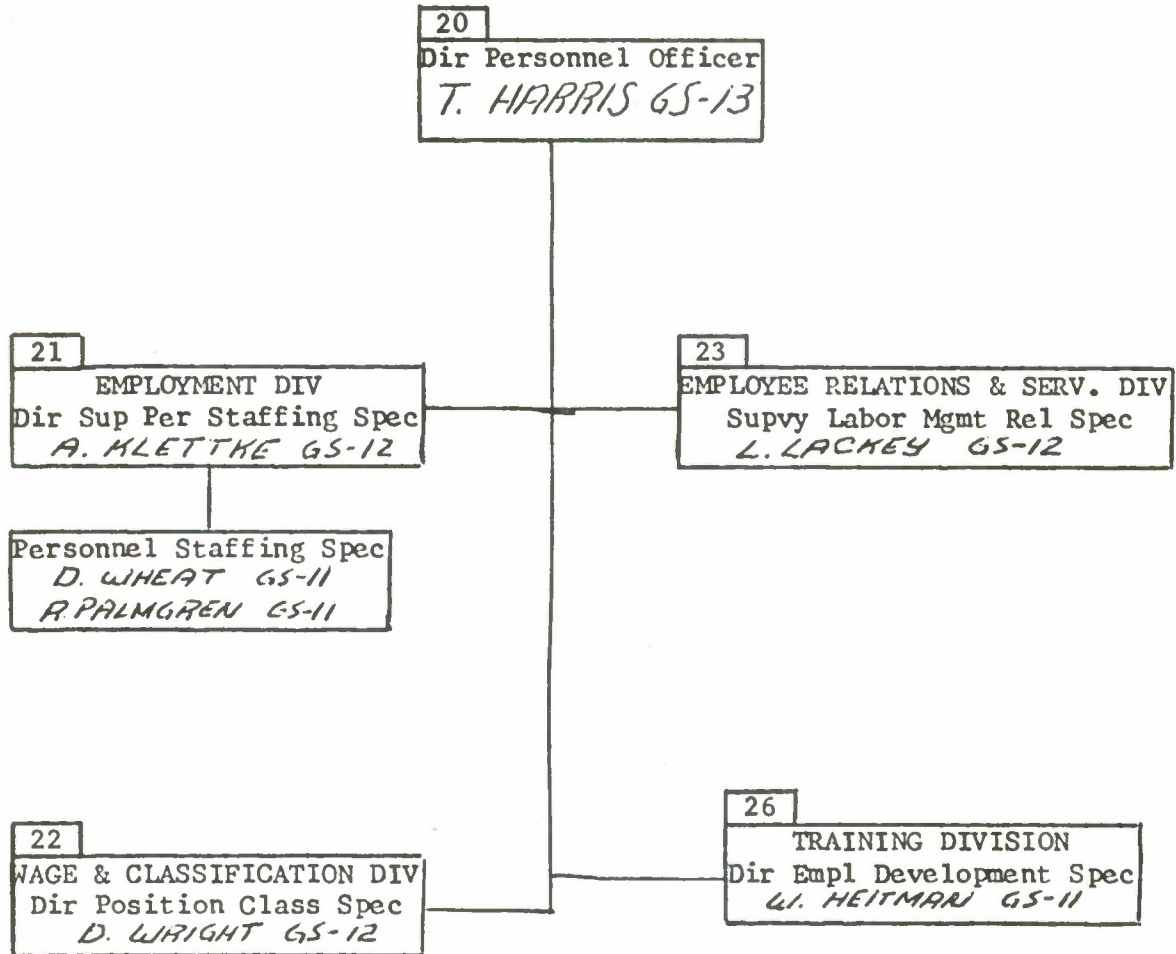
NAVY REGIONAL FINANCE CENTER, SAN DIEGO



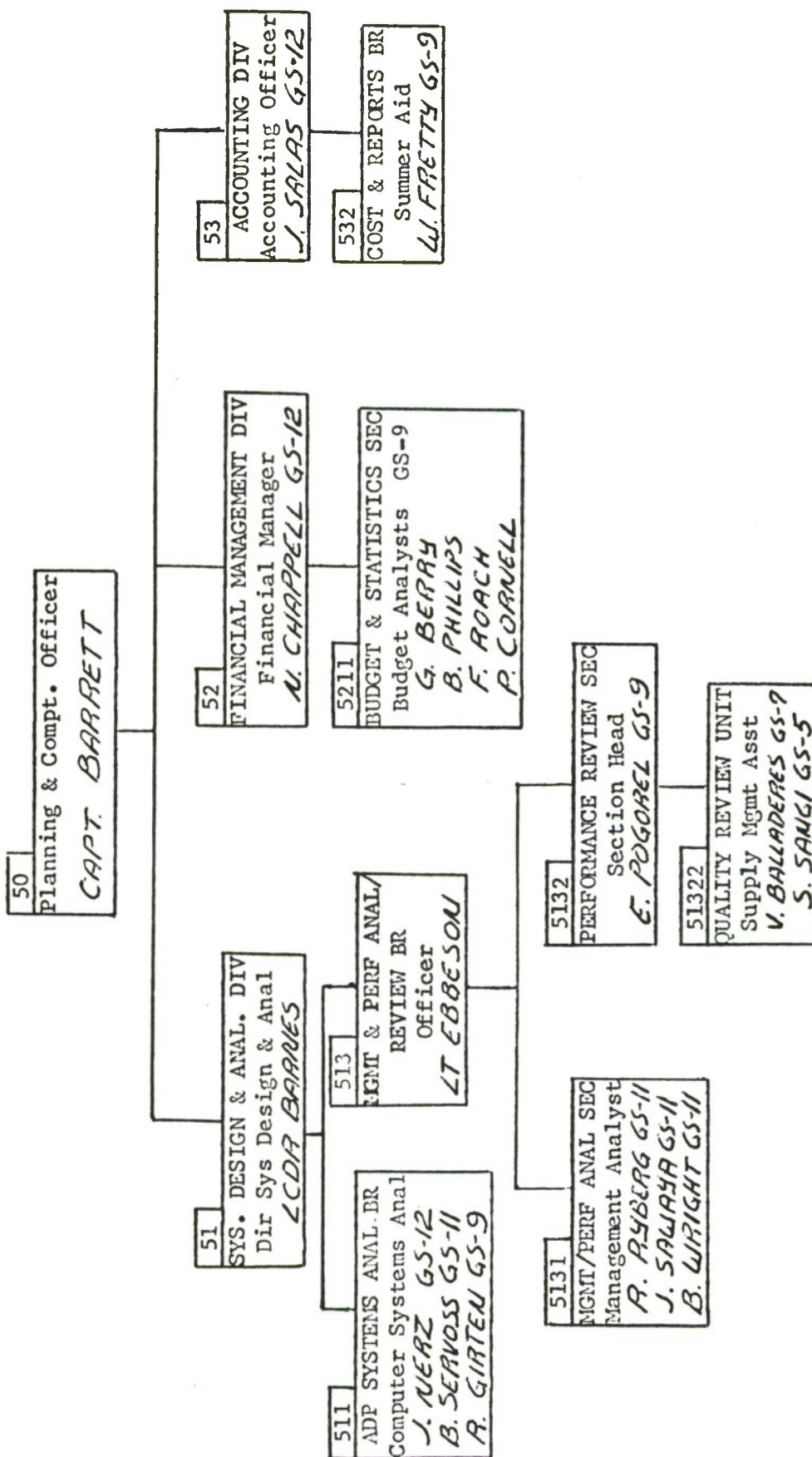
NAVAL SUPPLY CENTER, SAN DIEGO



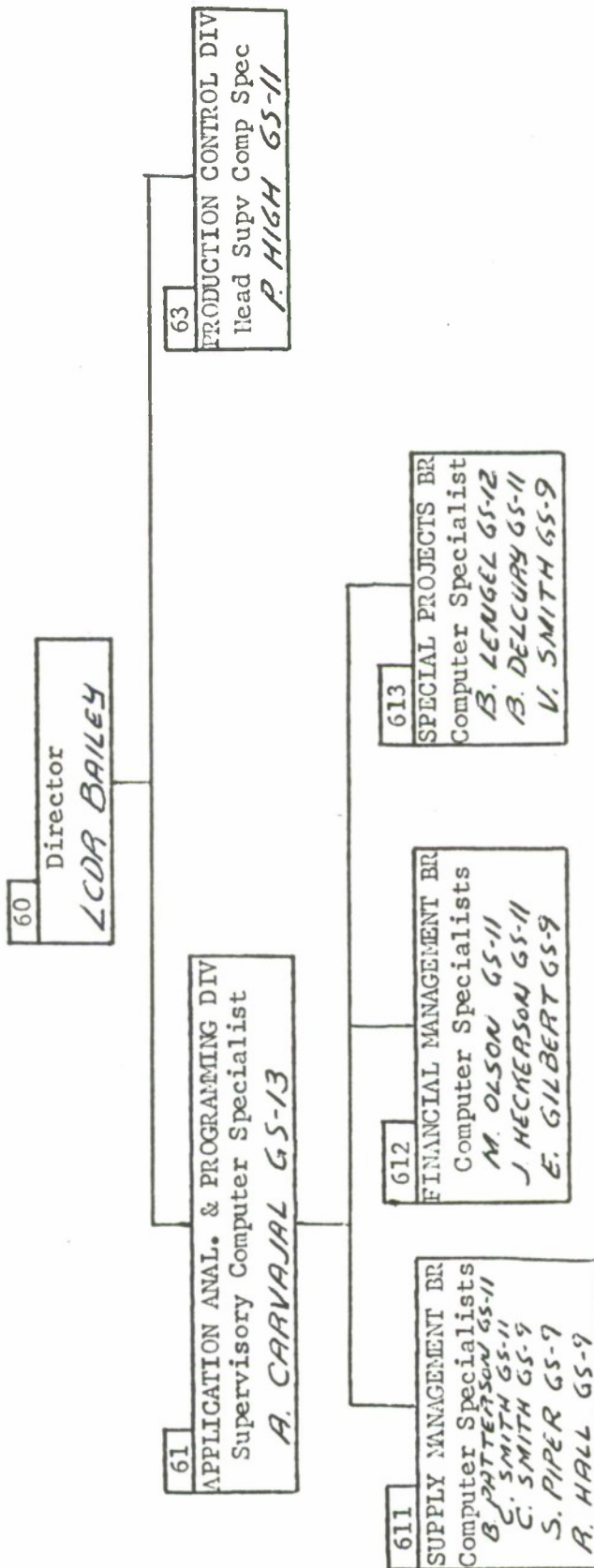
CODE 20
CIVILIAN PERSONNEL DEPT



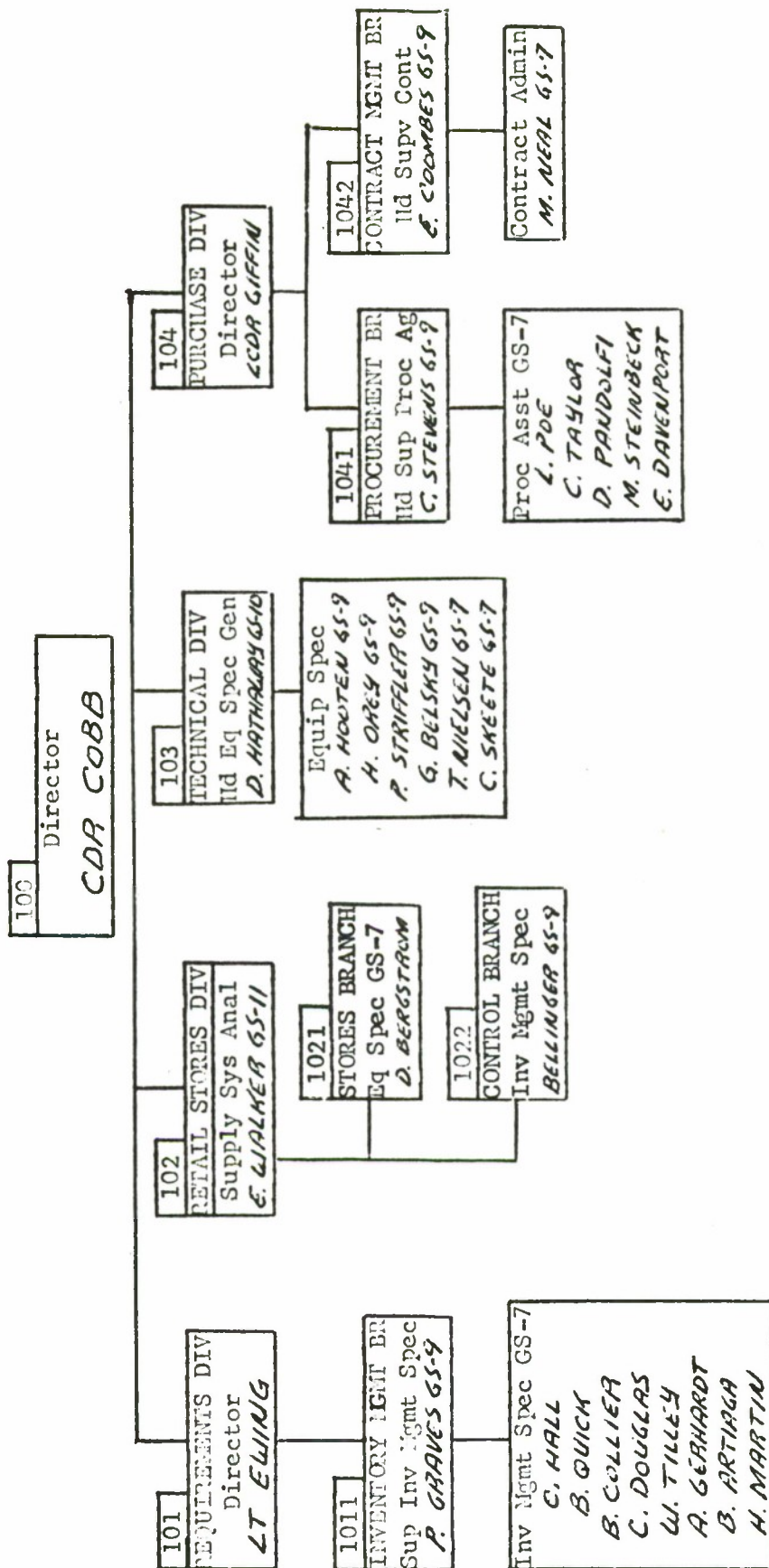
CODE 50 - PLANNING & COMPTROLLER DEPT



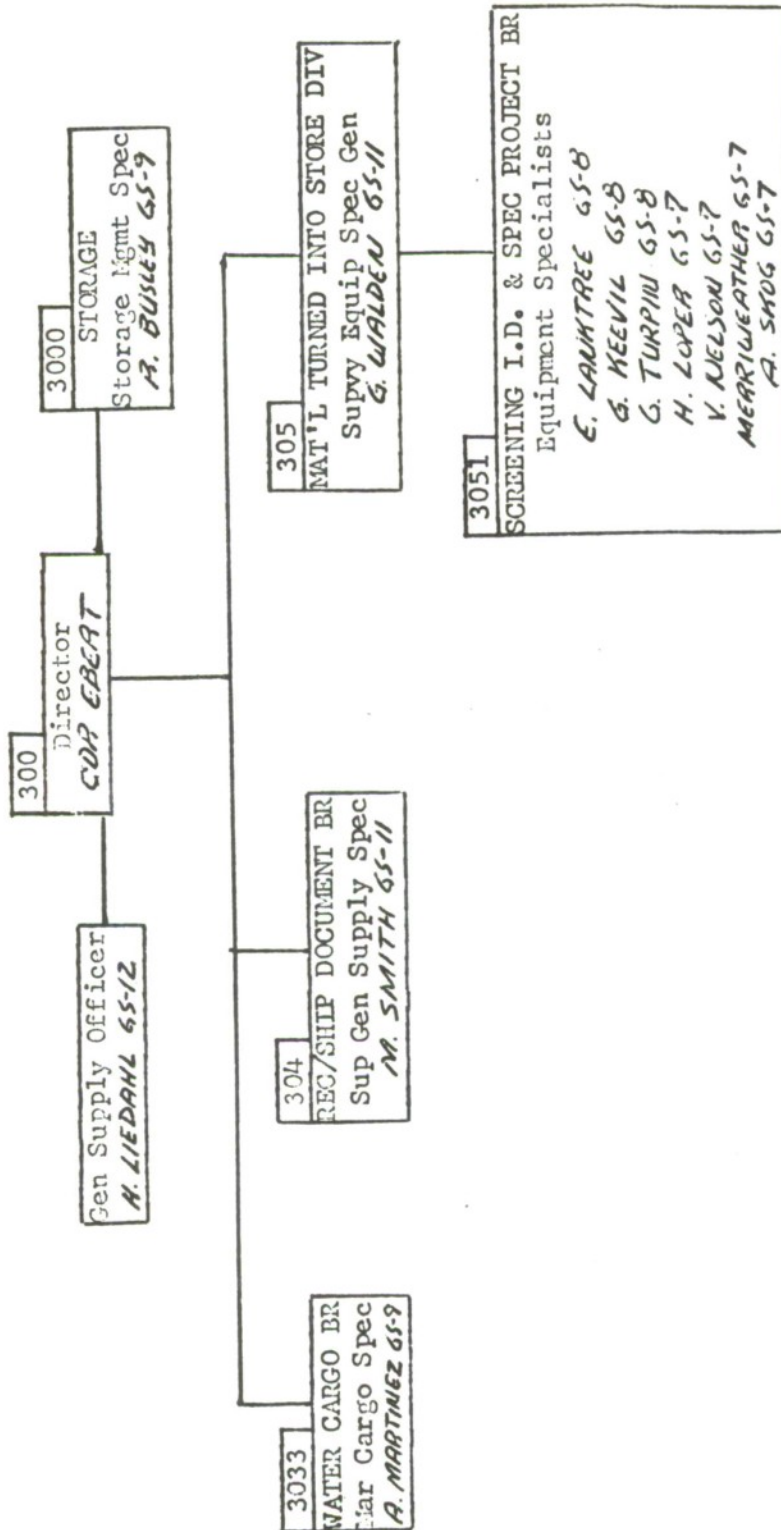
CODE 60 - DATA PROCESSING DEPT



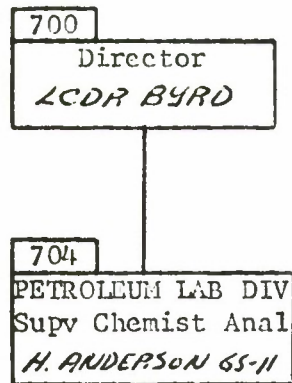
CODE 100 - INVENTORY CONTROL DEPT



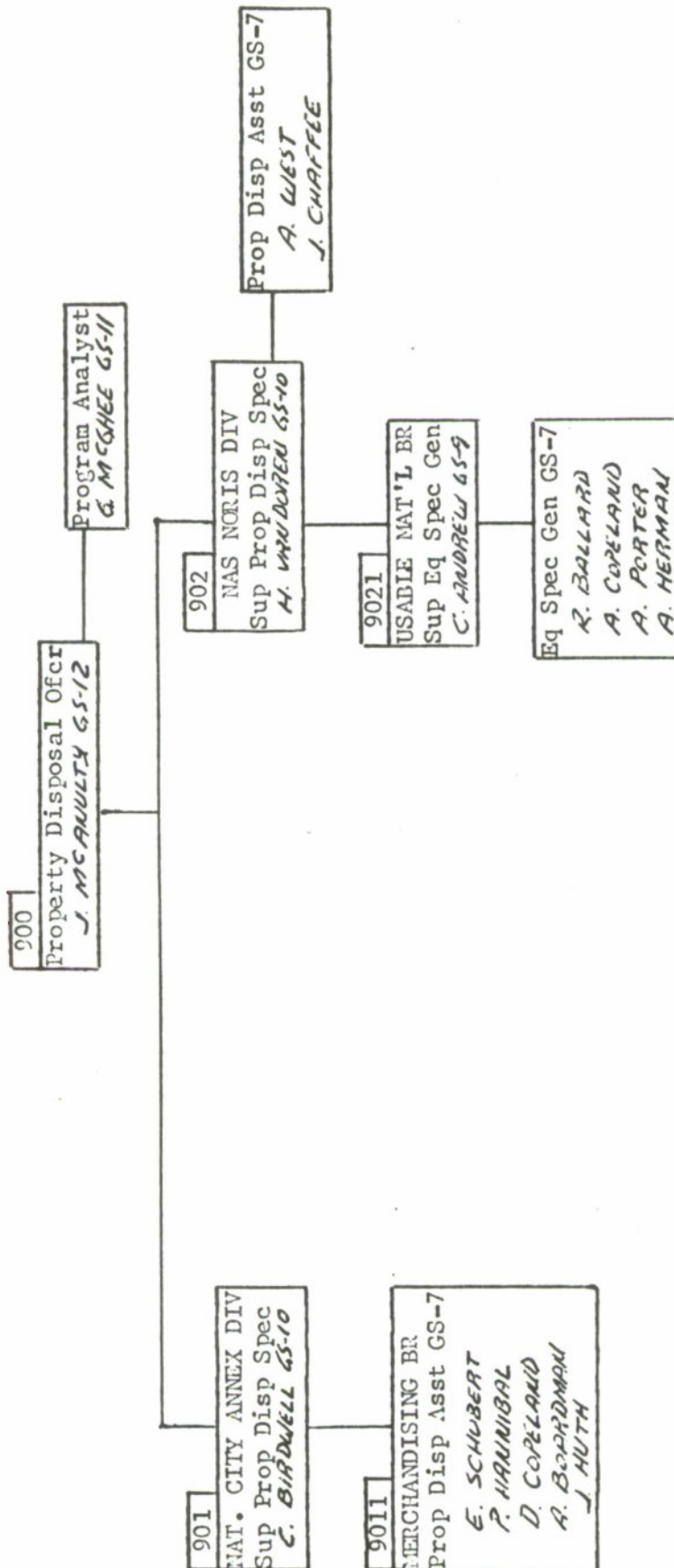
CODE 300 - MATERIAL DEPT



CODE 700 - FUEL & AMMUNITION DEPT



CODE 900 - DISPOSAL DEPT



APPENDIX 3

PROJECT TIME SCHEDULE

	<u>JUL 72</u> Pre-Survey		<u>OCT 72</u>		<u>JAN 73</u> Progress Report		<u>APR 73</u>		<u>JUL 73</u> Post Survey Final Report	
	% Anti- cipated	% Accom- plished	% Anti- cipated	% Accom- plished	% Anti- cipated	% Accom- plished	% Anti- cipated	% Accom- plished	% Anti- cipated	% Accom- plished*
DEVELOPMENT COMMITTEE APPRAISALS (Training & Development)	30	0	90	10	100	20	100	50	100	50
GOAL SETTING (Sup/Sub agree on what to do)	30	10	90	20	100	30	100	50	100	50
TASK ANALYSIS (Career Ladders)	0	0	15	0	50	50	100	100	100	100
RATING SCALE CONSTRUCTION	0	0	15	0	40	40	100	85	100	85

APPENDIX 4

APPRAISAL COMMITTEE MEMBERS

APPRAISALS - NSC

<u>CODE</u>	<u>APPRAISEE</u>	<u>DATE</u>	<u>CHAIRMAN</u>	<u>COMMITTEE</u>
52	N. CHAPPELL	2JAN73	CAPT BARRETT	CAPT SMITH, A. KLETTKE
52.11	G. BERRY	5JAN73	N. CHAPPELL	CAPT BARRETT
52.11	B. PHILLIPS	5JAN73	N. CHAPPELL	CAPT BARRETT
52.11	F. ROACH	8JAN73	N. CHAPPELL	CAPT BARRETT
52.11	P. CORNELL	8JAN73	N. CHAPPELL	CAPT BARRETT
53	J. SALAS	3JAN73	CAPT BARRETT	CAPT SMITH, A. KLETTKE
53	W. FRETTEY	31JAN73	J. SALAS	CAPT BARRETT, LCDR BARNES
61	A. CARVAJAL	10MAY73	LCDR BAILEY	CAPT SMITH, CDR EBERT, T. HARRIS
61.1	Mr.C.SMITH	22MAY73	A. CARVAJAL	LCDR BAILEY, LT FLAKES, J. McGHEE
61.1	Ms.C.SMITH	29MAY73	A. CARVAJAL	LCDR BAILEY, LT FLAKES
61.1	S. PIPER	30MAY73	A. CARVAJAL	LCDR BAILEY, LT FLAKES, C. STEVENS
61.2	M. OLSON	18MAY73	A. CARVAJAL	LCDR BAILEY, LT FLAKES, J. McANULTY
61.2	B. GILBERT	23MAY73	A. CARVAJAL	LCDR BAILEY, LT FLAKES, J. SALAS
100	E. WALKER	6APR73	CDR COBB	CAPT BARRETT, CDR EBERT, LT EWING, H. LIEHAHL
101.1	P. GRAVES	1MAY73	LT EWING	CDR COBB, LCDR SCARAMOZZINO, E. WALKER
101.1	B. TILLEY	4MAY73	P. GRAVES	LT EWING, E. COOMBES, E. POGOREL
102.1L	D. BERGSTROM	1MAY73	E. WALKER	CDR COBB, R. HANNASCH, R. SCHUI
103	D. HATHAWAY	6APR73	CDR COBB	CAPT BARRETT, CDR EBERT, LCDR GIFFIN, G. WALDEN
103	H. OREY	27APR73	D. HATHAWAY	CDR COBB, LT EWING, J. EDWARDS, J. CABANIS
103	G. BELSKY	27APR73	D. HATHAWAY	CDR COBB, LT EWING, J. EDWARDS, J. CABANIS
104.1	C. STEVENS	2MAY73	LCDR GIFFIN	CDR COBB, P. GRAVES
104.11	C. TAYLOR	2MAY73	C. STEVENS	LCDR GIFFIN, E. COOMBES
104.11	D. PANDOLFI	2MAY73	C. STEVENS	LCDR GIFFIN, E. COOMBES
104.2	E. COOMBES	1MAY73	LCDR GIFFIN	CDR COBB, E. POGOREL

<u>CODE</u>	<u>APPRAISEE</u>	<u>DATE</u>	<u>CHAIRMAN</u>	<u>COMMITTEE</u>
300	R. BUSLEY	30MAY73	H. LIEDAHL	CDR EBERT, LCDR ROBIE, J. YOUNG
300	H. LIEDAHL	18MAY73	CDR EBERT	CAPT SMITH, CDR COBB, LCDR ROBIE, N. CHAPPELL
305	G. WALDEN	11MAY73	CDR EBERT	CAPT SMITH, CDR COBB, H. LIEDAHL, B. SERVOSS
305.1	H. LOPER	16MAY73	G. WALDEN	CDR EBERT, CPO KNUDSEN, G. TURPIN
305.1	A. SKOG	17MAY73	G. WALDEN	CDR EBERT, G. TURPIN
20	A. KLETTKE	23MAY73	T. HARRIS	CAPT SMITH

APPRAISALS - NRFC

<u>CODE</u>	<u>APPRAISEE</u>	<u>DATE</u>	<u>CHAIRMAN</u>	<u>COMMITTEE</u>
00	R. GARRISON	11OCT72	CAPT JOHNSON	
A	K. SETHER	22FEB73	R. GARRISON	CAPT JOHNSON
CP	J. WHITLEY	11MAY73	LTJG DEVRIES	LCDR FAHRENTHAL, J. LICATA P. COOPER
CP	E. DUNN	1JUN73	LTJG DEVRIES	LCDR FAHRENTHAL, J. LICATA
M	P. COOPER	27NOV72	R. GARRISON	CAPT JOHNSON
D	R. LUNDAY	30OCT72	R. GARRISON	CAPT JOHNSON
DP	G. SCHULTE	8JAN73	R. LUNDAY	R. GARRISON, CDR COON
DP	C. MOSELEY	8JAN73	R. LUNDAY	R. GARRISON, K. SETHER
DP	P. COOPER	15MAR73	C. MOSELEY	R. LUNDAY, G. SCHULTE, LT OSHIMA
DP	C. EICHERT	15MAR73	G. SCHULTE	R. LUNDAY, C. MOSELEY, LT OSHIMA
DP	M. GALLO	15MAR73	C. MOSELEY	R. LUNDAY, G. SCHULTE, LT OSHIMA
DP	J. GLENN	15MAR73	C. MOSELEY	R. LUNDAY, G. SCHULTE, LT OSHIMA
DP	A. HASKELL	15MAR73	G. SCHULTE	R. LUNDAY, C. MOSELEY, LT OSHIMA
DP	F. KUHR	15MAR73	G. SCHULTE	R. LUNDAY, C. MOSELEY, LT OSHIMA
DP	J. MAYO	15MAR73	C. MOSELEY	R. LUNDAY, G. SCHULTE, LT OSHIMA
E	J. LICATA	27NOV72	R. GARRISON	CAPT JOHNSON
EF	J. ANGLIN	20APR73	J. LICATA	R. GARRISON
EF	V. BAILEY	20APR73	J. LICATA	R. GARRISON
EF	T. DAWSON	20APR73	J. LICATA	R. GARRISON
EF	J. GHESSI	20APR73	J. LICATA	R. GARRISON
EF	C. IACAMPO	19APR73	J. LICATA	R. GARRISON
EF	W. KNIGHT	19APR73	J. LICATA	R. GARRISON
EF	A. MEADE	19APR73	J. LICATA	R. GARRISON
EF	W. STEVENS	19APR73	J. LICATA	R. GARRISON
EF	D. STRINE	20APR73	J. LICATA	R. GARRISON

APPENDIX 5

DEVELOPMENTAL REPORTS

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DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

BILL GITHEENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Willing to accept or take on tasks (most of the time)
2. Efficiently handles situations where small programs are needed rapidly
3. Is pleasant and creates a good atmosphere

B. Least Strong:

1. Tends to follow specifications to the letter - they must be way off before they are questioned
2. Some difficulty in communicating with customers - some of it probably due to language facility, but probably most of it due to lack of knowledge or understanding of general problem areas
3. Concept of her job evidently does not include responsibility for the total product

III. RECOMMENDATIONS:

A. For

1. Ask more questions to gain work knowledge
2. Be more constructive in getting at correcting program errors
3. Be aware that others think you tend to be a selective listener - attempt to hear all that a person is saying
4. Study the application systems in which you work

B. For Management:

1. Get some customers to give her more briefing on the application
2. Attempt to assign her more projects within her knowledge scope so she can identify with the entire project

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

Bill GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Demonstrates high initiative and willingness
2. Organizes work well - demonstrates conscientiousness, meticulousness, and thoroughness
3. Demonstrates versatility in kinds of work she can do

B. Least Strong:

1. Could use more tact in dealing with others (but doesn't dull enthusiasm for job completion)
2. Availability for problems arising outside of regular working hours
3. Panics at times - uncontrolled "willingness" results in involvement in too many things. Lack of understanding of the philosophy of applications produces behaviour considered to be inflexible by others

III. RECOMMENDATIONS:

A. For Supervisor and

1. Explore ways to avoid assuming the detail work of others. For the development (of _____), it is important that amount of administrative detail work be reduced.
2. Move work location away from "control"
3. Discuss the philosophy behind applications

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

Bill GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Job knowledge
2. Excellent customer relationships -- anxious to satisfy and do good job
3. Shows patience with operations
4. Cleverly kept the interface functional between a set of programs
5. Keeps correspondence organized -- keeps good documentation

B. Least Strong:

1. Could show more initiative
2. Will state she understands an instruction, doesn't come back for clarification and problems develop
3. Seldom reports back on projects (doesn't give feedback on her problem, if any)
4. Could improve communication with the department concerning classification of whom is doing what
5. Could be more thorough

III. RECOMMENDATIONS:

A. Ms. and Supervisor

1. Discuss point IIB⁴ above. Ms. take appropriate action
2. Work out goals, evidence of their accomplishment and a time frame for their completion. Establish the priority of the various goals. M organize her time and effort to meet the goals.
3. Work out way of providing feedback up the line as to progress

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

BILL GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Willing to attempt any job assigned (sometimes takes on too much)
2. Conscientious and willing
3. Maintains good customer relations
4. Questions instructions & assignments to get clarification - understands quickly

B. Least Strong:

1. Could tie up more loose ends on projects to get them done
2. More thorough desk check would prevent problems
3. Could improve coding practices (too simple & often involves extra coding)
4. Sometimes not tactful with other people & their problems

III. RECOMMENDATIONS:

A. For

1. Organize time - direct energies - discuss priorities
2. Provide more information to supervisor on status of work
3. Avoid over-generalizing aggression. To have discomfort and state it is O.K., but be specific in directing it at the responsible person
4. Attempt to better organize your time so that top priority goals are met

B. I and Supervisor:

1. Discuss priorities of projects and ways of keeping the priorities updated

C. Management:

1. Publish set of programming guides or policies

APPRAISAL REPORT

I. COMMITTEE MEMBERSHIP:

W. Githens (Staff-Coordinator)

II. ANALYSIS OF APPRAISEE:

A. Strongest Aspects:

1. Technical competency (identifying problem areas and making corrections).
2. Tenacity - ~~want~~^{went} let go of a problem until it is corrected tested.
3. Dedicated to the customer (see B-1)

B. Least Strong Aspects:

1. Could give more information to customers on customer error.
2. Project management - managing people - could be more positive in assigning work and in monitering the progress of work assigned.
3. Could show more confidence in presenting information to top management.

III. RECOMMENDATIONS FOR IMPROVEMENTS:

A. Self:

1. Concentrate on managing abilities.
2. Concentrate on confidently presenting information to top management.

B. Supervisor and Organization:

1. Provide opportunity to take course in project management or management training.
2. Help clarify supervisory responsibilities to her and the rest of the department, ^{AND} take any required organizational actions.

APPRAISAL REPORT

I Committee Membership:

W. Githens (Staff-Coordinator)

II Analysis of Appraisee:

A. Strongest Aspects:

1. Technical knowlddge in Fleet Accounting
--accounting systems, procedural analyses
2. Personnel Administration
--success in meeting and rdsolving conflicts through subordinate supervisors --leadership in developing the supervisory aspects of his subordinate supervisors
--constructive attitude towards attitude survey results
3. Cooperation with other Department Heads.

B. Leaat Strong Aspects:

1. Written communications (although much improved)
2. Oral presentations
3. Familiarity with some of the functions recently assigned

III Recommendations for Improvement and Development:

A. Self:

1. Continue self-evaluation on written communications
2. Emphasize getting greater knowledge of non fleet oriented accounting.
3. Take advantage of any opportunity to give presentations to groups --consider teaching a class at a nearby college.

B. Supervisor and Management:

1. Continue to provide ffeedback on written communications
2. Provide opportunity for managerial type training
3. Provide opportunity for participation in Labor-Management negotiations.

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

B. GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Interest in job, enthusiasm, loyalty
2. Writing ability
3. Cost consciousness in attempting to salvage equipment
4. Technical knowledge
5. Relationship with others - making others feel welcome and free to ask for help

B. Least Strong:

1. Identification of ordnance material
2. Extended bull sessions
3. Forming conclusions after investigations
4. Critical of other technicians
5. Organization of work area

III. RECOMMENDATIONS:

A. For

1. Work out with other technicians any common problems. Don't just publicly complain
2. Take any available training in "ordnance" &/or "management"
3. Make sure all previous work is well expressed on your personnel documents (job applications, etc.)
4. Consider writing an article for "Flash"

B. For Supervisor:

1. Get him greater exposure - assign tasks to get out more - represent his shop, etc.
2. Try to find out any least-strong areas and counsel him appropriately
3. Assign him to be technical contributor to handbook - assign writing tasks that will get exposure in other parts of NSC

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

B. GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Technical aspects, knowledge of storage
2. Persuasiveness, expression of opinions
3. Comprehension of general NSC procedures
4. Cooperation, flexibility, personality - people oriented
5. Logical thinking
6. General writing ability
7. Meeting deadlines

B. Least Strong:

1. Indecisiveness in initial decision-making
2. Knowledge by name of all departmental personnel
3. Initiative in getting to know other top civilians
4. Follow-up on projects delegated
5. Comprehensiveness in investigations

III. RECOMMENDATIONS:

A. For

1. Develop more interface with customers
2. Work on developing "presentation" skills
3. Initiate more business contacts throughout NSC
4. Advise management if interested in attending any high level defense supply courses
5. Consider attending Southern California meetings and conventions concerned with material handling & storage
6. Be more innovative than reactive
7. Set up procedure for becoming familiar with all departmental personnel and work areas

B. For Supervisor:

1. Seek tasks, projects, assignments which will broaden him
2. Obtain support for outside professional organization activity
3. Have NSC consider him as a leader in the implementation of the high-rise stacker crane system

APPRAISAL REPORT

I. COMMITTEE MEMBERSHIP:

W. Githens (Staff-Coordinator)

II. ANALYSIS OF APPRAISEE:

A. Strongest Aspects:

1. Knowledge of the full range of supply.
2. ^{Dis}Dip into projects to get at minute detail.
3. Writes well & ^sgood at instructing others.

B. Least Strong Aspects:

1. Generally outgoing, but seems to be too sensitive and upsets others by "retreating into a shell". At these times it is unpleasant for others to get necessary job related information from her.
2. Bluntness with people sometimes makes it difficult to get things done.

III. RECOMMENDATIONS FOR IMPROVEMENTS:

A. Self:

1. Talk with counterpart at Oakland (see how input to them is processed)
2. Develop desk procedures.
3. Talk with another agency concerning non-appropriated finds.

B. Supervisor and Organization:

1. Send to course on "non-appropriated finds".
2. Make computer programmer available to help her setup mechanical processing of COSAL requisitions.
3. See that opportunity for A1 and A3 is provided.

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

Bill GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Once started on a job, does it satisfactorily
2. Demonstrates high technical knowledge
3. Maintains good relationships with customers
4. Is thorough in completing what he regards as his responsibility

B. Least Strong:

1. Attitude is to do only exactly what is assigned. Tends to follow specifications to the letter - must be told everything
2. Seems reluctant to acknowledge responsibility for his own product
3. Rather rigid concept of his "own job" makes it difficult to use his talents. Almost refuses to be aware of general problems around him
4. Has a general negative work relationship with others within his department - doesn't try to be a good team worker - is reluctant to utilize talent of others to help with problems he has and others are reluctant to ask for his talent.

III. RECOMMENDATIONS:

A. For

1. Broaden concept of "your job" - be sure tasks are complete beyond merely a clean compile
2. Make your talent available to others and utilize the talents of others when it would be efficient to do so
3. Be aware of impressions you give others as listed in Section II. Take action as you think will bring the impressions into line with the way you see yourself (if there is a discrepancy)

B. For Management:

1. Provide less comprehensive instructions
2. Require him to use his own initiative in doing the systems analysis function. Clarify this as part of his job

DEVELOPMENTAL REPORT

I. COMMITTEE MEMBERSHIP:

B. GITHENS (Staff Coordinator)

II. ANALYSIS OF PERFORMANCE:

A. Strongest:

1. Creative, forward thinking; innovative
2. Cooperation
3. Communication
4. Salesmanship (see also #3 below)
5. Enthusiasm, motivation, initiative, "Can-Do" attitude, loyalty
6. General knowledge
7. Handling personnel problems

B. Least Strong:

1. Long-range planning
2. Consideration for the impact on others when he changes his operations
3. Revealing weaknesses when proposing new systems
4. Tolerating mediocre performance of subordinates
5. Taking opportunities to present things in writing
6. Development of subordinates

III. RECOMMENDATIONS:

A. For Mr.

1. Consider taking effective writing course
2. Give attention to development of subordinates, especially to the development of possible successors. Delegate more. Utilize subordinates for presentations.
3. Give more attention to giving subordinates knowledge of the "big picture"
4. Be aware of tendency to "oversell" proposals. Be sure to reveal all weaknesses that are known.

B. For Supervisor:

1. Discuss above points and assist in working out improvements. Consider giving assignments that require delegation, documentation, or general written reports.

APPRAISAL REPORT

I. COMMITTEE MEMBERSHIP:

W. Githens (Staff-Coordinator)

II. ANALYSIS of APPRAISEE:

A. Strongest Aspects:

1. Meets deadlines in an outstanding fashion. Anticipates changes and plans ahead for them.
2. Restructures jobs to bring about better match between GS level and actual work performed.
3. Well organized and writes well.

B. Least Strong Aspects:

1. Could be more aggressive in being involved in NSC problems.
2. Could demonstrate more interest in developing those reporting to him.

III. RECOMMENDATIONS for IMPROVEMENTS:

A. Self:

1. Get out more. Foster more contacts with various elements of the NSC organization. (Especially Department Heads)
2. Increase active involvement in NSC activities or any other NSC related activity. (C.E.C. , Community E.E.O.)
3. Increase cross-training of subordinates.
4. Personally participate in management training courses.

B. Supervisor and Organization:

1. Make available trips to Washington, D.C. so that contacts there can be periodically maintained.
2. Help set up possible replacements (management interns)
3. Assign as an instructor for parts of NSC management & supervisory training courses.

APPENDIX 6

COUNSELING SESSION REPORTS

From:

To: Staff Coordinator (Dr. GITHENS)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to on 6 March 1973.
2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
a. Improve technical knowledge of the recently assigned functions of register and property accounting.	Effective performance in these areas. See sub-goals.	1 Sep 73*
(1) Sub-goal Register Branch Perform a desk review of the register accounting branch to become familiar with day to day functional requirements.	Notice to Exec. Dir. of accomplishment with an accompanying evaluation of the function.	30 Apr 73
(2) Sub-goal Property Branch Perform a desk review of the property accounting branch to become familiar with the day to day functional requirements.	Notice to Exec. Dir. of accomplishment with an accompanying evaluation of the function.	15 May 73
b. Ensure that action is initiated to correct or improve those aspects of the Register Branch functions identified for investigation prior to the reorganization.	Notice to Exec. Dir. of accomplished project with action taken.	30 Oct 73*
c. Strive to identify system/procedural improvements in the register and property accounting functions to meet the ever increasing restraints on available assets to perform assigned functions.	Project identification and implementation of improvements or requests to appropriate authority for system changes.	Continuing

* Accomplishments in these areas will be continuing, however objectives of the basic goal should be completed by these dates.

3. As a result of the counseling session, the following "personal development" goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
a. Take advantage of management oriented training.	N/A	N/A

13 April 1973

PLANS OR GOALS

From

To: Commanding Officer (Code 20A)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to on 17 January 1973.
2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
a. Increase cross training of subordinates.	Submission of plans for cross training.	1 Jul 1973
b. Establish system for development of task procedures for subordinates.	Submit copies of completed desk procedures for subordinates.	1 Sep 1973
c. Establish target trainee position for replacements.	Position description for trainee.	1 Sep 1973

3. As a result of the counseling session the following "personal development" goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
a. To foster more contacts with various NSC departments.	Report results of production rate review with various departments.	Quarterly
b. Participate in management training courses.	Assignment as student or instructor in management training sessions.	Continuous
c. Attend outside self-development courses.	Report of courses completed on his own time.	Continuous

Comments: Appraisal committee recommended making trips available to Washington in order to maintain contacts. Due to funding constraints no schedule can be determined at this time.

Memorandum

DATE: 24 May 1973

FROM

TO Commanding Officer (Code 20A)

SUBJ Counseling session; report on

1. Information generated by an appraisal committee was presented to
nt on
21 May 1973.
2. As a result of the counseling session, the following job performance goals were set:
 - a. Develop more interface with customers. This goal will commence immediately and be accomplished through visits of _____ to meet supply counterparts and shore-based commands supported by NSC San Diego. Completion will be by 31 December 1973.
 - b. Initiate more business contacts throughout the Center. This goal will be accomplished through the visitation of _____ relative to a Material Department interface, to the office of every senior civilian in the Center (All CEC members). The visits will commence immediately and be initially accomplished by 1 November 1973.
 - c. Become familiar with all Material Department personnel and work areas. To accomplish this goal a schedule will be developed to ensure _____ meets all Code 300 employees and visits every space and work station. The schedule will ensure completion by 1 September 1973.
3. The following "personal development" goals were set:
 - a. Become more involved with the local community businessmen who have a common interest in Material Management. To accomplish this goal _____ will seek out and join a local professional association not later than 1 July 1973.
 - b. Work on developing "presentation skills". Accomplishment of this goal will be initiated by Mr. _____ preparing and giving a presentation in August 1973 to the Planning Council.
4. In addition to the above, in an effort to broaden his interests, Mr. _____ will be designated co-chairman of the committee which will be established to develop the plan and ensure successful creation of the high rise stacker crane stowage system at NCA.

Very respectfully,

From:

To:

Officer (Code 20A)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to

on 21 May 1973

(Date)

2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME *</u>
1. Assignment to SOAP - especially working with APL, COSAL, etc.		12 months
2. Assignment on repairables - Test Equipment.		6 months
3. Assignments requiring use of "old" publications.		12 months
4. Conduct training on documentation - Data Processing interface with MFIS.		6 months

3. As a result of the counseling session the following "personal development" goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME *</u>
1. Develop knowledge on use of available publications-- expected results.		12 months
2. Do more reading/study in operations--UADPS, MILSTRIP, Screening Guidelines.		6 months
3. Seek more help from Lead Equipment Specialist-to develop technical knowledge of equipment.		12 months
4.		

*Progress reviewed and discussed each 3 months.

Comments (optional)

Memorandum

DATE: 9 May 1973

FROM

TO Commanding Officer (Code 20A)

SUBJ Counseling session; report on

1. Information generated by the appraisal committee was presented to on 9 May 1973.

2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1. To decrease lead time of major procurements from 40 days to 38 days.	Weekly review of the requisition aging report.	01 Jan 1974
2. To prepare procurement actions in accordance with ASPR with less than 1/3 returned for additional action.	Monthly review to determine that less than 30% of the files submitted are returned for revision.	30 Apr 1974

3. As a result of the counseling session the following "personal development" goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1. To obtain additional required procurement courses.	Complete at least 2 procurement related courses.	30 Apr 1974
2. To prepare for management type future.	Attend at least one supervisory or managerial course.	30 Apr 1974
3. To develop future knowledge and self confidence in procurement activities outside NSC.	Participation in procurement type organization outside of NSC.	30 Apr 1974

21 JUN 1973

From: C
To: Commanding Officer (Code 20A)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to on 21 June 1973.
2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME- FRAME</u>
1. Develop and implement such computer programs as necessary to fulfill requirements of the Long Beach Disestablishment plan as pertains to stock processing	Customer acceptance and continued satisfaction(Codes 100/300)	FY74/1
2. Develop and implement such ADP procedures as necessary to add the Long Beach SERVMART to the inventory	Customer acceptance and continued satisfaction(Code 102)	FY74/1
3. Continue to monitor the shake-down of the SERVMART Data System for effectiveness	Customer acceptance and continued satisfaction(Code 102)	FY74/1
4. Perform a comprehensive feasibility study on MTIS and SOAP ADP processing and recommend appropriate changes	Timely submission of study report	FY74/2
5. Develop and implement such ADP procedures as necessary to add the Long Beach ARSS to Application-N processing	Customer acceptance and continued satisfaction(Code 51/100)	FY74/3
6. Become thoroughly familiar with the requirements and capability of POS(Point of Sale data capture) as pertains to SERVMART and retail gasoline	Answer pertinent questions & provide applicable briefings as may be required	FY74/4
3. As a result of the counseling session, the following "personal development" goals were set:		
1. Actively pursue an academic in Information Systems Management	Fall enrollment	FY74/2
2. Practice meaningful techniques in the establishment of work priorities and pursue them accordingly	Daily observation for notable improvement	Continuing

19 JUN 1973

From:
To: Commanding Officer (Code 20A)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to
on 19 June 1973.

2. As a result of the counseling session, the following job performance
goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1. Develop and implement such computer programs as necessary to support the Automated Magnetic Tape Library System	Customer acceptance and continued satisfaction(Code 63)	FY74/1
2. Modify and implement such computer programs as necessary to support an Automated Tape-oriented AUTODIN Communications System	Customer acceptance and continued satisfaction(Codes 62/63)	FY74/2
3. Accept program maintenance responsibility for Application-N(Automated Ready Supply Stores) and implement applicable programs in support of NAVELEXSW	Customer acceptance and continued satisfaction(Codes 51/100)	FY74/2
4. Develop local programs and/or procedures to maintain a vibrant local purchase data base	Customer acceptance and continued satisfaction(Code 104)	FY74/3
5. Convert to NAVSUP ANS COBOL the AUTOCODER programs 228 & 229 and implement them to automatically generate purchase orders	Customer acceptance and continued satisfaction(Code 104)	FY74/4

3. As a result of the counseling session, the following "personal development" goals were set:

1. Pursue active participation in the local chapter of TOASTMISTRESS	Sustained membership	Continuing
2. Pursue active participation in the local Golfing Association	Sustained membership	Continuing

From:

To: Commanding Officer (Code 20A)

Subj: Counseling session; report on

1. Information generated by the appraisal committee was presented to on 13 June 1973.
2. As a result of the counseling session, the following job performance goals were set:

<u>GOAL</u>	<u>ACCEPTABLE EVIDENCE OF ACCOMPLISHMENT</u>	<u>TIME FRAME</u>
1. Accept program maintenance responsibility for Application-Z (Civilian Personnel Data System) and local add-ons	Customer acceptance and continued satisfaction(Code 20 & CCPO)	FY74/1
2. Represent NSC San Diego in the Combined Federal Campaign of 1973	Participate in applicable fund raising activities	FY74/1
3. Develop and implement such computer programs as necessary to fulfill requirements of the NSC Affirmative Action Plan	Customer acceptance and continued satisfaction(Code 009)	FY74/2
4. Develop local program and/or procedures to enhance the manual requirements supporting Application-K (Civilian Payroll)	Customer acceptance and continued satisfaction(Code 533)	FY74/3

3. As a result of the counseling session, the following "personal development" goals were set:

is actively pursuing an advanced degree in the social sciences and upon successful attainment intends to fully exploit her educational background with a new career in that field. The undersigned fully concurs with this commendable endeavor and encourages her accordingly.

DEPARTMENT OF THE NAVY

Memorandum

52:NDC: jn
DATE: 13 June 1973

FROM

performance counseling

1. Committee appraisal results were discussed with January 1973.
2. These job performance goals were set:

Goal	Evidence of Attainment	Time Frame
a. Develop desk procedures	Availability of guides in work-folders	31 January 1973
b. Cross-train in tasks performed by contemporaries	Ability to answer questions related to others' work in their absence	Continuing
c. Develop initiative in following-up on delinquent feeder reports	Receipt of timely reports from Center components	Continuing

3. These self-development goals were set:

a. Enroll in job related technical courses	Report, via TRIM, upon completion of courses	Continuing Start Feb 1973
b. Foster personal contacts with counterparts at West Coast stock points	Report new data collection and interpretation techniques	Continuing

DEPARTMENT OF THE NAVY

Memorandum

52:NDC:jn
DATE: 13 June 1973

FROM

TO Code 20A

SUBJ counseling session

1. Information developed by the appraisal committee was discussed with on 19 January 1973.

2. The following job performance goals were set:

Goal	Evidence of Attainment	Date of Completion
a. Develop desk procedures	Submit draft to supervisor	30 Jul 73
	Refine and Complete	31 Oct 73
b. Initiate action to automate matching of COSAL requisitions	Preparation of memo to Code 51 requesting analysis	30 Jun 73
c. Obtain maximum exposure to regulations governing management of non-appropriated funds. Visit other DOD agencies to discuss subject when possible.	Initiation of local implementation of CNW manuals.	30 Jun 73 Cancelled because of pending relief as CNW Treasurer
d. Cross-train in tasks performed by contemporaries	Ability to answer questions related to others' work in their absence	Continuing

3. Personal development goals recommended:

a. Enrollment in job related technical courses	Report, via TRIM on courses completed	Continuing
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APPENDIX 7

MEMORANDUM OF
TRAINING COURSE RECOMMENDATIONS

17 July 1973

MEMORANDUM

To: Capt Smith, XO, NSC
Capt Johnson, CO, NRFC

From: Bill Githens, Monterey Project Study Group, Code 20A, NSC

Subj: Courses Recommended for Consideration as a result of Appraisal
Committee Meetings

1. 55 "professional level" employees have been appraised during the year of our project (30 from NSC and 25 from NRFC). As one by-product of these sessions, the following courses have been recommended for several of these employees:

<u>COURSE</u>	<u># TIMES RECOMMENDED</u>	
	<u>NSC</u>	<u>NRFC</u>
Management Training/MBO	7	6
CSC Rules & Regs	5	-
Project Management	-	3
Financial Management	2	-
Writing Effectivess	2	-
Procurement	2	-
Basic English	-	2
Basic Statistics	1	-
ADP	1	1
Non-appropriated Funds	1	-
Personnel Administration	1	-
Human Relations	1	-
Community Relations	1	-
Ordnance	1	-
SDA	-	1

2. It is recommended that these courses, especially those of greatest frequency, be given consideration for possible inclusion in training programs of NSC or NRFC, as appropriate.

Bill Githens
Bill Githens

Copy to: R. Garrison, NRFC

APPENDIX 8

CIVIL SERVICE "O/S/U" FORM

NAME

SOCIAL SECURITY NO

CODE	P D NO	POSITION TITLE	SERIES	GRADE	STEP	ANNIVERSARY DATE
WITHIN GRADE INCREASE	<input type="checkbox"/>	IS	<input type="checkbox"/>	IS NOT	DUE FOR CONSIDERATION	

I CERTIFY THAT THE ABOVE NAMED EMPLOYEE'S POSITION IS NECESSARY AND THAT THE POSITION/JOB DESCRIPTION AND WORK PERFORMANCE RE AS INDICATED BELOW I HAVE DISCUSSED HIS POSITION/JOB DESCRIPTION AND PERFORMANCE WITH HIM. EMPLOYEE'S CONTRIBUTION TO MORE EFFICIENT AND ECONOMICAL PAPER WORK HAS BEEN CONSIDERED.

I. POSITION/JOB DESCRIPTION A. ☐ CURRENT AND ACCURATE B. ☐ NOT CURRENT THROUGH DRAFT WILL BE SUBMITTED BY _____ (DATE)

II. POSITION MANAGEMENT CATEGORY (CHECK ONE) ☐ 1 ☐ 2 ☐ 3

III. LEVEL OF PERFORMANCE (CHECK ONE) A. ☐ OUTSTANDING B. ☐ SATISFACTORY C. ☐ UNSATISFACTORY (PROPOSED)

IV. WITHIN GRADE INCREASE (TO BE COMPLETED ONLY IF WITHIN GRADE INCREASE IS DUE FOR CONSIDERATION)

WORK: A. ☐ IS B. ☐ IS NOT OF AN ACCEPTABLE LEVEL OF COMPETENCE.

V. SALARY INCREASE AND CASH AWARDS

I RECOMMEND A. ☐ HIGH QUALITY INCREASE OR B. ☐ SUSTAINED SUPERIOR PERFORMANCE C. ☐ SUPERIOR ACHIEVEMENT D. ☐ SPECIAL ACT OR SERVICE

SUPERVISOR/RATER'S SIGNATURE	DATE	EMPLOYEE'S INITIALS	DATE
REVIEWING OFFICIAL	DATE	APPROVING OFFICIAL	DATE

RETURN TO CODE 6810.8 BY

OTHERWISE THE ACTIONS INDICATED ABOVE WILL NOT BE PROCESSED DURING THE INDICATED PAY PERIOD.

BRIEF INSTRUCTIONS FOR COMPLETING ABOVE FORM

I. POSITION/JOB DESCRIPTION

- A. DESCRIPTION ADEQUATELY REFLECTS WORK PERFORMED BY INCUMBENT.
B. NEW DESCRIPTION IS REQUIRED, SINCE PRESENT ONE IS INACCURATE, OUTDATED. WITHIN 30 DAYS ROUGH DRAFT MUST BE SUBMITTED TO CODE 6810.

II. POSITION MANAGEMENT CATEGORY

- A. SEE NELC INSTRUCTION 531D.1 (CURRENT EDITION)

III. LEVELS OF PERFORMANCE

- A. OUTSTANDING PERFORMANCE. COMPLETE AND ATTACH PERFORMANCE RATING, NAVSO 12431/1, AND PERFORMANCE RATING REPORT, NAVSO 12431/2. CAN GIVE QUALITY INCREASE, OR SUSTAINED SUPERIOR PERFORMANCE AWARD. ONLY ONE MONETARY AWARD MAY BE GIVEN IN ANY ONE 52 WEEK PERIOD.
B. SATISFACTORY RANGES FROM MARGINAL PERFORMANCE THROUGH ACCEPTABLE COMPETENCE TO JUST BELOW OUTSTANDING. SATISFACTORY WITH A COMBINATION OF OUTSTANDING AND SATISFACTORY RATINGS... COMPLETE AND ATTACH PERFORMANCE RATING, NAVSO 12431/1 AND PERFORMANCE RATING REPORT, NAVSO 12431/2. SATISFACTORY PERFORMANCE DOES NOT AUTOMATICALLY GRANT WITHIN GRADE INCREASES. FOR EXAMPLE: MARGINAL PERFORMANCE. EMPLOYEES WITH A SATISFACTORY PERFORMANCE RATING MAY BE GIVEN QUALITY OR MONETARY AWARDS.
C. UNSATISFACTORY PERFORMANCE. IF AN UNSATISFACTORY PERFORMANCE RATING IS CONTEMPLATED, SUPERVISOR SHOULD CONTACT THE EMPLOYEE RELATIONS SPECIALIST, CODE 6810, EXT 6847, AT LEAST 30 DAYS PRIOR TO THE REQUIRED 90-DAY WARNING PERIOD, FOR ASSISTANCE.

IV. WITHIN GRADE INCREASE

- A. WITHIN GRADE INCREASE WILL BE PROCESSED.
B. CONTACT CODE 6810, EXT 7151 IMMEDIATELY FOR FORMS AND ADVICE FOR WITHHOLDING WITHIN GRADE INCREASE.

V. SALARY INCREASE AND CASH AWARDS

- A. HIGH QUALITY STEP INCREASE, WARRANTING SPECIAL RECOGNITION. (ATTACH PERFORMANCE RATING REPORT, NAVSO 12431/2; PERFORMANCE RATING REPORT, NAVSO 12431/3 (IF APPROPRIATE); AND EMPLOYEE'S PERSONAL APPRAISAL, 11ND-NELC-1243D/3.)*

OR ONE OF THE FOLLOWING

- B. COMPLETE RECOMMENDATION FOR SPECIAL ACHIEVEMENT AWARD, NAVSO 1245D/6
C. " " " " " " " " " "
D. " " " " " " " " " "

* QUALITY INCREASES GRANTED AT ANY TIME OTHER THAN ANNIVERSARY DATE MUST BE SUBMITTED ON STANDARD FORM 52 WITH ACCOMPANYING JUSTIFICATION.

EMPLOYEE ANNUAL REVIEW FORM FORWARDED TO SUPERVISOR 75 DAYS IN ADVANCE OF EMPLOYEE'S ANNIVERSARY DATE.

FORMS NAVSO 12431/1 (REPLACES NAVSO 6823R) AND NAVSO 12450/6 ARE AVAILABLE IN NELC SERVMART. NAVSO 12431/2, NAVSO 12431/3, AND 11ND-NELC-1243D/3 ARE AVAILABLE IN CODE 6810.

FOR DETAILED INSTRUCTIONS, SEE NELC INSTRUCTION 12000.5 (CURRENT EDITION)

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